DOCUMENT RESUME

ED 417 490 EA 028 963

TITLE	U.S. Department of Education FY 1999 Annual Plan. Volume 1: Objective Performance Plans and Data Quality.
INSTITUTION	Department of Education, Washington, DC.
PUB DATE	1998-02-27
NOTE	133p.; For volume 2 of this plan, see EA 028 964.
AVAILABLE FROM	Phone: 1-800-USA-LEARN; e-mail: strategic plan@ed.gov
PUB TYPE	Reports - Descriptive (141)
EDRS PRICE	MF01/PC06 Plus Postage.
DESCRIPTORS	Annual Reports; Budgeting; *Educational Finance; Educational Technology; Elementary Secondary Education; Evaluation; *Evaluation Criteria; Higher Education; *Performance Factors; *School Accounting; *School Funds; Special Education; Vocational Education
IDENTIFIERS	*Department of Education; Goals 2000

ABSTRACT

The Government Performance and Results Act of 1993 called for the U.S. Department of Education to prepare an Annual Performance Plan which links the Department's budget request with its Strategic Plan. To meet that directive, Volume 1 of the Department's Strategic Plan for 1999 is presented here. It includes objective performance plans and shows how the Department's budget request aligns budgetary and other programmatic and management resources so as to help reach Strategic Plan goals and objectives. The Plan includes 4 goals and 22 objectives. The primary goals are: (1) help all students achieve high academic standards; (2) build a solid foundation for learning; (3) ensure access to postsecondary education and lifelong learning; and (4) make the Department a high-performance organization by focusing on results, service quality, and customer satisfaction. To reach these goals some key management reforms are included in the Plan, such as improved customer service, partner flexibility, an up-to-date knowledge base, skill improvement, highly skilled employees, student educational objectives, responsive management, and financial integrity. The volume also details how performance data will be verified and validated and how the Plan will be coordinated with other federal agencies. (RJM)

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EA
ED 417 490

U.S. Department of Education

FY 1999 Annual Plan

Volume 1.
Objective Performance Plans and Data Quality

February 27, 1998

U.S. DEPARTMENT OF EDUCATION
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Preface

Over the past five years, education has become the number one national priority for the American people. Whatever the challenge—revitalizing our cities, moving families from welfare to work, providing a skilled work force for the booming technology sector, teaching our children to say no to illegal drugs and alcohol, or helping parents balance the demands of work with the support children need to reach their full potential—Americans from all walks of life increasingly look to education and our schools to provide answers.

President Clinton has long believed that education, driven by high standards and harnessed to the near-limitless potential of educational technology, has the ability to make an unprecedented contribution to freedom and prosperity in the next American century. That is why the President has made education his top priority for fiscal year 1999.

The President's 1999 budget request builds on five years of solid achievement in helping states and communities raise academic standards for all students, creating closer connections between school and the world of work, integrating technology into the classroom, and greatly expanding federal support for college students of all ages. New initiatives in 1999 would help reduce class sizes in grades 1-3 nationwide to just 18 students per class, support more than $20 billion in construction bonds to provide modern academic facilities to millions of elementary and secondary school students, help turn around failing schools in America's inner cities and poor rural areas, train teachers to use technology to teach all children to high standards, and encourage low-income children and their families to begin planning early for college.

And for the first time, in compliance with the Government Performance and Results Act of 1993, the Department of Education has prepared an Annual Performance Plan which links the Department's budget request with its Strategic Plan. By aligning all Department resources and improvement strategies with the goals and objectives of the Strategic Plan, the Annual Performance Plan will improve the Department's accountability to taxpayers and keep its managers focused on getting results. In short, this Annual Performance Plan provides a set of benchmarks that permit Congress and the public to judge whether the Department's programs are working effectively to help states, communities, families, and individuals to reach their educational goals.

We hope that members of Congress and the American people will pay close attention to this Plan. We believe it demonstrates how the careful application of limited federal resources can have a significant impact on the performance of our schools and students.

Richard W. Riley
Secretary of Education

Marshall S. Smith
Acting Deputy Secretary of Education

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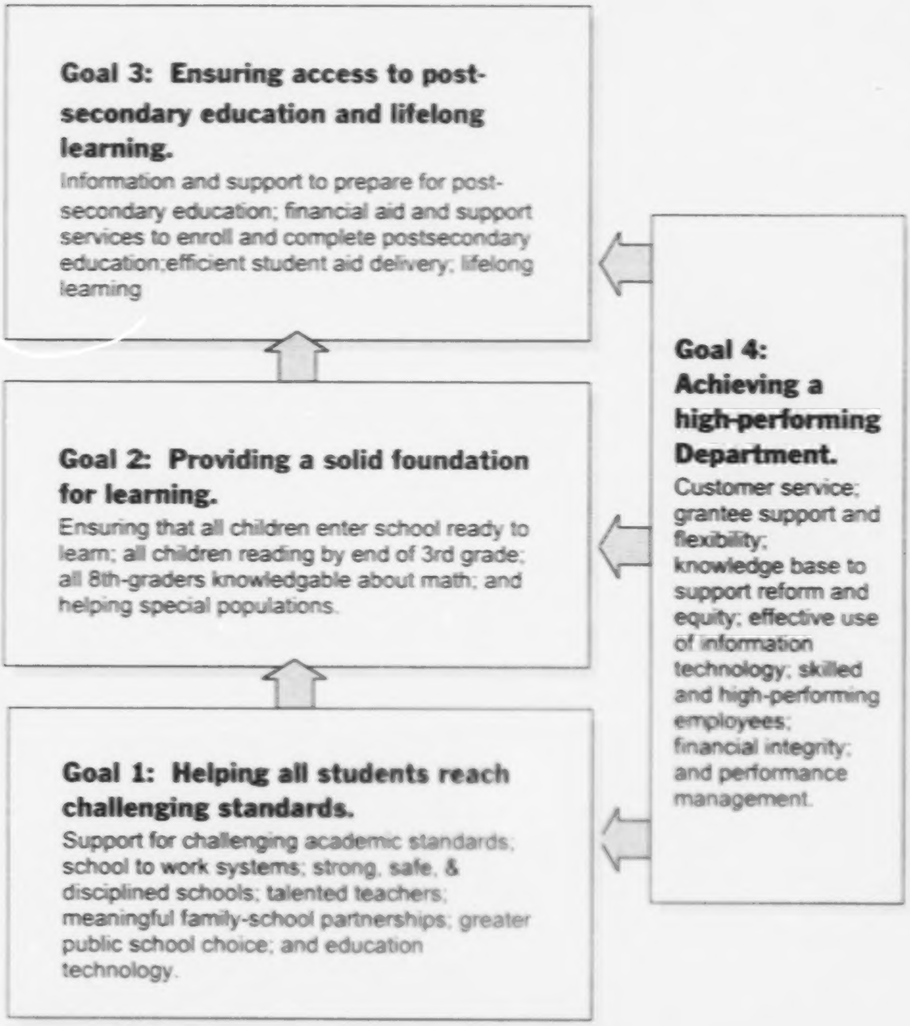
The Department of Education's Mission

To ensure equal access to education and to promote educational excellence throughout the nation.

Exhibit 1

Inter-relationship of Strategic Plan Goals and Objectives



Goal 3: Ensuring access to postsecondary education and lifelong learning.
Information and support to prepare for postsecondary education; financial aid and support services to enroll and complete postsecondary education;efficient student aid delivery; lifelong learning

Goal 2: Providing a solid foundation for learning.
Ensuring that all children enter school ready to learn; all children reading by end of 3rd grade; all 8th-graders knowledgable about math; and helping special populations.

Goal 1: Helping all students reach challenging standards.
Support for challenging academic standards; school to work systems; strong, safe, & disciplined schools; talented teachers; meaningful family-school partnerships; greater public school choice; and education technology.

Goal 4: Achieving a high-performing Department.
Customer service; grantee support and flexibility; knowledge base to support reform and equity; effective use of information technology; skilled and high-performing employees; financial integrity; and performance management.

Introduction and Overview

On September 30, 1997, the U.S. Department of Education delivered its first "Results Act" Strategic Plan for 1998-2002 to Congress. The plan included the Department's mission: *To ensure equal access to education and to promote educational excellence throughout the nation.* The plan also included four goals—three addressing critical national priorities in education and one to make the Department efficient and an effective partner with states, local communities, and higher education institutions in the important work of educational improvement. Our goals are:

1. *Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.*
2. *Build a solid foundation for learning for all children.*
3. *Ensure access to postsecondary education and lifelong learning.*
4. *Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction.*

The goals represent key customer groups and education processes, starting with support for the elementary and secondary school system, moving to support for specific K-12 target populations, and then to postsecondary education access. (See Exhibit 1 for an illustration of the relationship of the goals.)

To accomplish the goals, the Strategic Plan included objectives and strategies and, for accountability and to inform decision-making, performance indicators. The objectives are shown in the framework chart on page 10. Performance indicators ranged from end outcome measures such as fourth-grade children's progress on the National Assessment of Educational Progress to outputs such as the number of students participating in the comparatively new School-to-Work program, to process measures such as the number of states that have instituted standards for core subjects such as reading and math.

To make the plan work, the Department has:

- developed an annual plan to translate its multiyear strategic goals and objectives into concrete annual strategies covering policy and budgetary initiatives and management reforms,
- specified the financial and program details to implement Education's annual plan in the FY 1999 Congressional Justifications for the President's Budget and the individual program plans, and
- developed and initiated a set of activities to ensure that our plan is implemented to support a process of continuous improvement toward our annual and long-term goals and objectives.

This document presents the Congress with the Department's FY 1999 Annual Plan. It includes annual performance plans for each objective in the Department's Strategic Plan and program performance plans that cover all of the Department's programs. Budget details for the programs are available in the Department's Congressional Justifications.

Development of an Annual Plan that links with the FY 1999 President's Budget

The Strategic Plan's long-term goals and objectives provide the framework for performance planning within the Department of Education, including budget justifications and performance plans for individual programs and offices. The Department of Education's first-ever Annual Performance Plan is fully integrated into the agency's FY 1999 budget request. The Department's FY 1999 budget request aligns budgetary and other programmatic and management resources to help reach Strategic Plan goals and objectives and to support the program objectives and performance indicators reflected in the Department's new set of program performance plans.

Selected FY 1999 budget items.

The following examples illustrate how the FY 1999 budget supports each Strategic Plan goal and objective in FY 1999.

Goal 1: High Standards for All Students (an estimated $6.4 billion in the FY 1999 budget). To help raise the academic standards for all students, the annual plan includes:

- *Objective 1.1. Challenging standards.* The $476 million for Goals 2000 state grants to support states in having academic standards and assessments aligned with content for at least two core subjects by the year 2001.

- *Objective 1.2. Comprehensive school-to-work system.* The $125 million for the School-to-Work Opportunities program with an identical amount provided in the Department of Labor request to help meet the year 2000 targets of all 50 states and two million youth actively engaged in comprehensive school-to-work systems.

- *Objective 1.3. Safe and drug-free schools.* The $526 million for Safe and Drug free Schools and Communities State Grants seeks to strengthen performance through competitive grants to places that have developed high-quality, research-based approaches to attack severe drug and violence problems. The budget also provides $50 million to support recruitment, training and employment of drug and school safety coordinators serving almost half of all middle schools, nationwide.

- *Objective 1.4. Talented and dedicated teachers.* The $1.1 billion begins the class size reduction initiative, with the goal of helping to reduce class sizes in grades 1-3 to a nationwide average of 18 within 7 years.

- *Objective 1.5. Meaningful family and community involvement.* The $200 million for 21st Century Learning Centers would help support 500,000 children in about 4000 before - and after-school learning programs, a time when many families with hard working parents have difficulty finding supervised care for their children.

- *Objective 1.6. Greater public school choice.* The $100 million request for Charter schools would support planning and start-up costs for up to 1400 schools heading toward the target of 3000 charter schools by 2001.

- *Objective 1.7. Educational technology.* The $75 million in "Teacher Training in Technology" would help ensure that all new teachers can use technology effectively in the classroom.

Goal 2: A Solid Foundation for Learning (an estimated $13.8 billion in the FY 1999 budget). To reach the challenging academic standards called for in Goal 1, children with specific needs must be given the appropriate opportunities to enter school ready to learn; to master the basics of reading by the end of the third grade; and to know math by the end of the eighth grade. Highlights of FY 1999 budget proposals to achieve these aims include:

- *Objective 2.1. Enter school "ready to learn."* The $374 million for Special Education Preschool Grants and the $370 million for Special Education Infants and Families program help ensure that children with disabilities are ready to enter first grade on an equal footing as their peers without disabilities.

- *Objective 2.2. Read well by end of third grade.* The $260 million for the America Reads Challenge would strengthen parental involvement in reading and extend learning opportunities through the use of reading specialists, tutors and professional staff development. Also, the $900 million request for Work Study would provide additional resources for more than 100,000 Work-Study students to serve as reading tutors. A majority of participants who benefit from the $7.8 billion request for Title I receive reading help.

- *Objective 2.3. Know challenging math by eighth grade.* The $335 million for Eisenhower Professional Development State Grants will emphasize the importance of providing sustained, intensive, high-quality professional development for mathematics teachers in grades 5-8, as part of the ED-NSF Action Strategy for improving achievement in mathematics. This strategy also includes $33.7 million to improve mathematics instruction through professional development and technical assistance under the Eisenhower Federal Activities Program. In addition, many Title I students would receive help in math under the Title I $7.8 billion request.

- *Objective 2.4. Assist special populations.* Funding priorities include:
  - $7.8 billion for Title I grants to serve more than 10.5 million students in schools located in high poverty areas, including the allocation of all the $392 million increase to the very highest poverty areas. These funds will go primarily to strengthen instruction in reading and mathematics.
  - $3.8 billion for Special Education Grants to States will help improve the quality of education and assist the 6 million children with disabilities to meet the challenging standards expected of all children
  - $600 million for the Hispanic Education plan will increase funding for programs to help raise the quality of Hispanic education and boost their relatively low high school graduation rates.

Goal 3: Postsecondary Education and Lifelong Learning ($15.8 billion in the FY 1999 budget). The Department of Education supports significant levels of student financial assistance and provides information and assistance to help families and student take best advantage of that assistance. Examples of new or increased initiatives to directed at strengthening access to postsecondary education are:

- *Objective 3.1. Successfully prepare secondary students for postsecondary education.* The $140 million High Hopes College-School Partnerships would bring together colleges, business and community organizations to provide middle and high school students with information about financial aid, mentoring and tutoring to keep students on track toward college.

- *Objective 3.2. Financial aid and services to assist postsecondary students enroll and complete their educational program.*
  - $7.6 billion for Pell Grants would increase the maximum award by $100 to $3,100 and serve 3.9 million students. The $33.9 billion of loans through Family Education Loans and Federal Direct Student Loan programs would support 9.1 million loans.
  - $583 million for TRIO would provide support services for help 744,000 students to enter and complete college.

- *Objective 3.3. An efficient, sound, and responsive postsecondary student aid delivery system.* The Administration's FY 1999 Budget identified the modernization of the student aid delivery system as one of its 22 highest priority management objectives. The Department is currently developing a detailed two-year plan with specific goals and objectives to modernize the student aid delivery system in order to more effectively and efficiently obtain the data needed to manage and operate the programs.

- *Objective 3.4. Improve lifelong learning.* The Lifetime Learning tax credits worth up to $1,000 in 1999 will assist about 7.1 million students, including those taking class part-time to upgrade their job skills. The $2.3 billion for Vocational Rehabilitation State Grants would help over 1 million individuals with disabilities receive the services they need to become employed.

Key management reforms

The Department is committed to engaging every employee in the tasks needed to accomplish the Strategic Plan goals and objectives, to improving internal performance management systems, and to reallocating resources as needed. In the wake of the reinventing government movement and passage of the Results Act, the Department is investing in its systems and people to ensure that it is in touch with and responsive to educational needs and has the capacity to carry out its leadership role in improving education in America.

The most sizable management function in the Department is the administration of postsecondary student financial aid. Financial aid, including budget authority and loans, totals 70 percent of ED's funding. Administration of that function takes about 60 percent of Departmental management funding and about 40 percent of all ED staff (in full-time equivalents). Management in this area also involves major contracts for data systems that account for 38 percent of that 60 percent. As a result, the Department has a special objective focused on student financial aid management.

The cross-cutting management objectives are highlighted under Goal 4: "make the Education Department a high-performance organization." These objectives are also realized through specific program improvements discussed under the objectives for the three prior goals. Examples of both Department-wide and program specific management improvements for FY 1999 are:

- *Objective 4.1. Customer service.* Continued improvements in customer service will be achieved through monitoring our customer performance against the Department's customer service standards, the implementation of a one-stop shop for customers, expanded access to information through our award-winning WEB page and 1-800 numbers, and improved access to customers with disabilities through new web-page formatting and architectural/facilities improvements.

- *Objective 4.2. Partner flexibility with continued accountability for results.* By 1999, the Department proposes to expand the Cooperative Audit Resolution and Oversight Initiative (CAROI) to about half the states from the current 10 states; expand ED-FLEX participation for waivers to all states from the current 12 states; and expand technical assistance through the $40 million request for the Comprehensive Regional Technical Assistance Centers. Flexible and innovative government arrangements are reflected in new and innovative partnerships, such as the partnership with the Mott foundation to support planning and information networks for the 21st Century Community Learning Centers; and "The Partnership for Family Involvement in Education" with its target of 5,000 member organizations in 1999, as compared with 33 members when launched in 1994.

- *Objective 4.3. An up-to-date knowledge base.* The proposed $50 million for a new Interagency Research Initiative, in partnership with the National Science Foundation, will advance knowledge in such areas as the acquisition and teaching of reading and mathematics and the application of new brain research.

- *Objective 4.4. Sound information technology to improve impact and efficiency.* The $4 million request is to support the comprehensive assessment, validation and renovation of computer systems to ensure "Year 2000 data compliance." The Department is committed to carrying out the Information Technology Management Reform Act (Clinger-Cohen Act) with major expansion in students electronic application of postsecondary financial assistance and expanded access of person with disabilities to information and publications.

- *Objective 4.5. Highly skilled and high performing employees.* Employee training will be aligned to support the Department's strategic and annual plans, upgraded through partnership arrangements with leading public and private sector organizations (e.g., the John Hancock company for strategic planning and human resource development); and strengthened through on-line computer-based training to provide access, as needed.

- *Objective 4.6. Ensuring financial integrity.* Our overall 1999 goals are to obtain a clean financial audit and improve the product value obtained from our contracts. Key initiatives include strengthening postsecondary financial management systems (e.g., implementing a risk-assessment model and a single integrated data system), expanding performance-based contracts to all new contracts and full implementation of EDCAPS (Education Department Automated Processing System)

- *Objective 4.7. A performance-driven agency.* The Department will track plan implementation quarterly, ensure at least one staff person in each program area has appropriate training in data use and analysis, and conduct independent program evaluations to ensure data quality. The Department is also working closely with the Inspector General in its review to assess the reliability of Department-wide and program performance data. To reinforce data quality improvements and controls, each program manager will also have to attest to the level of validity and reliability of their performance data or have an improvement plan in place.

Coordination with other federal agencies

The Annual Plan identifies opportunities to improve coordination across agencies to enable the Department to better serve program participants and to reduce inefficiencies in service delivery. Many federal agencies have education functions, ranging from staff training, fellowships, grants, or loans for postsecondary students; grants and other supports to state and local education agencies; and even the operation of schools (Departments of Defense and Interior). In addition, coordination is often critical for management areas such as verifying student family income and other financial information with Treasury and Social Security Administration records.

Through ongoing communication, joint research, coordinated dissemination and technical assistance, and streamlined regulations and reporting requirements, the Education Department is building strong collaborations with other federal agencies. Coordination activities are highlighted in each objective performance plan, starting on page 12. In addition, a summary table listing coordination activities by federal departments and independent agencies is shown in Appendix A, starting on page 99.

Highlights of cross-agency coordination within our annual plan are:

- *Bureau of Indian Affairs.* Coordinate program funds for at-risk students, alcohol and drug abuse; and reading, math and family involvement activities.
- *Corporation for National Service.* Coordinate implementation of America Reads.
- *Department of Defense.* Coordinate Education Department programs received by DOD schools; and participate on the steering committee of the Partnership for Family Involvement in Education.
- *Federal Communications Commission.* Coordinate implementation of the Education (E)-rate.
- *National Science Foundation.* Joint interagency research imitative to promote knowledge development in technology, mathematics, and brain research.

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- *Health and Human Services.*
  - In the area of drug and violence prevention: use of performance data from the National Institute on Drug Abuse (Monitoring the Future) and Centers for Disease Control (Youth Risk Behavior Surveillance System); cross-agency consultation on evaluation projects (HHS's School Health Policies and Program Study); joint projects to provide training and technical assistance to educators, communities, and states (Center for Substance Abuse Prevention, Maternal and Child Health Bureau, and National Institute on Drug Abuse). In addition to these, support for the HHS Secretary's Initiative on Youth Substance Abuse Prevention (with Substance Abuse and Mental Health Services Administration, National Institute on Alcoholism and Alcohol Abuse, National Institute on Drug Abuse, and other agencies) .
  - In the area of early childhood education: a joint interagency research initiative to promote knowledge development in early learning including emerging literacy and reading instruction with National Institute of Child Health and Human Development; work with Head Start Bureau to align indicators of progress and quality with Even Start and support "Transition to School" grants to sustain Head Start educational gains; joint activities through the "Communities Can" initiative to promote school-linked services; and use the Interagency Early Childhood Research Working Group to exchange research-based information on early learning.
- *Housing and Urban Development.* As a member of the Interagency Council on Homelessness, collaborate on a national survey of Homelessness Assistance Providers and Clients.
- *Department of Justice.* Joint effort to develop and implement the President's Report Card on School Violence; use of performance data from National Crime Victimization Survey for performance measurement; ED's National Study on School Violence conducted in cooperation with the National Institute for Justice-sponsored National Study of Delinquency Prevention in Schools; joint drug and violence prevention activities, including the truancy and hate crimes initiatives with the Office of Juvenile Justice and Delinquency Prevention; joint projects to provide training and technical assistance on drug and violence prevention to educators, communities, and states, with the Office for Victims of Crime and the Office of Juvenile Justice and Delinquency Prevention.
- *Labor Department.* Joint administration of National School-to-Work Office, and aligned grant-making, technical assistance, and performance reporting for School-to-Work.
- *Office of National Drug Control Policy.* Continue to collaborate on drug prevention initiatives and performance measurement activities.
- *National Endowment for the Arts.* Joint project to provide training and technical assistance to educators and communities on drug and violence prevention activities.
- *Office of Science and Technology Policy.* Coordinate technology activities as part of Interagency action plan on learning technologies.
- *Treasury Department.*
  - Coordinate information and administration of Hope Scholarship and Lifelong Learning credits.
  - Coordinate the development of initiatives to finance school construction.

Working with our education partners

To accomplish our goals, the Department works in partnership with states, schools, communities, institutions of higher education, and financial institutions—and through them with students, teachers and professors, families, administrators, and employers. While our partners may well fully support the mission and goals we espouse, there is room for differing opinions on how to reach those goals. We are committed to working jointly with states and communities to establish performance partnerships that respect varying local circumstances, set mutual goals, provide or identify sufficient resources to achieve success, and give flexibility in administration in return for accountability for performance.

In addition to providing financial support of $36.8 billion in FY 1999, examples of partnership activities will include:

- Continuing to implement program waivers and other flexibility provisions in elementary and secondary education programs, including expanding ED-FLEX eligibility to all 50 states.

- Improving performance data at all levels—federal, state, and local—to provide necessary feedback for improvement as well as information for accountability. A good example is the new partnership with Chief State School Officers to work collaboratively through state pilots to streamline elementary and secondary education reporting and to improve the timeliness and accuracy of performance indicators.

- Working with 4,000 family, school, employer and religious organizations through the "Family Involvement Partnership for Education" to exchange information about effective practices for family involvement and to support all children to achieve to new educational standards.

- Launching an historic public/private partnership with the Mott Foundation, which committed $55 million over five years to support technical assistance, information sharing and program monitoring for the 21st Century After-School Program.

Using the plan

Historically a weak link in management improvement systems has been that improvement plans fail to take hold and are not seriously implemented throughout the agency. The Department is well aware of the serious flaws in implementing past federal management reforms, such as zero-based budgeting and management-by-objectives. To help ensure effective plan implementation, the Department will:

- Communicate to its employees about all phases of the plan and its importance though employee newsletters, recognition of effective employee improvement efforts, and employee training activities.

- Align performance appraisals for assistant secretaries and senior managers with achievement of Strategic Plan and individual program plan objectives.

- Train staff in areas linked to performance on the Strategic Plan, including training in performance management.

- Report quarterly on performance for each objective and conduct reviews by the Deputy Secretary.

- Evaluate independently the quality of implementation of the Department's Strategic Plan based on the independent work of known experts in the field and audits and reviews performed by the Inspector General.

Verifying and validating data and results

The quality of performance-driven decisions are no better than the quality of the data on which they are based. To help ensure reliable and valid performance measures, the Department will: develop data standards for performance measures consistent with standards used by the Department's statistical agency; train appropriate staff in data quality assurance procedures; work with our elementary and secondary partners, including the Chief State School Officers, to pilot test state/local systems aligned with national performance indicators; work to streamline currently fragmented postsecondary data systems through developing an integrated systems architecture; and monitor information quality through independent evaluations and through coordinated activities with the Inspector General.

Exhibit 2

U.S. Department of Education
Framework of Strategic Plan Goals and Objectives

Mission: To ensure equal access to education and to promote educational excellence throughout the nation.

Goal 1. Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.	**Goal 2.** Build a solid foundation for learning for all children.	**Goal 3.** Ensure access to postsecondary education and lifelong learning.	**Goal 4.** Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction.
Objectives	**Objectives**	**Objectives**	**Objectives**
1.1 States develop and implement challenging standards and assessments for all students in the core academic subjects.	2.1 All children enter school ready to learn.	3.1 Secondary school students get the information, skills, and support they need to prepare successfully for postsecondary education.	4.1 Our customers receive fast, seamless service and dissemination of high-quality information and products.
1.2 Every state has a school-to-work system that increases student achievement, improves technical skills, and broadens career opportunities for all.	2.2 Every child reads independently by the end of the third grade.	3.2 Postsecondary students receive the financial aid and support services they need to enroll in and complete their educational program.	4.2 Our partners have the support and flexibility they need without diminishing accountability for results.
1.3 Schools are strong, safe, disciplined, and drug-free.	2.3 Every eighth-grader masters challenging mathematics, including the foundations of algebra and geometry.	3.3 Postsecondary student aid delivery and program management is efficient, financially sound, and customer-responsive.	4.3 An up-to-date knowledge base is available from education research to support education reform and equity.
1.4 A talented and dedicated teacher is in every classroom in America.	2.4 Special populations receive appropriate services and assessments consistent with high standards.	3.4 Adults can strengthen their skills and improve their earning power over their lifetime through lifelong learning.	4.4 Our information technology investments are sound and used to improve impact and efficiency.
1.5 Families and communities are fully involved with schools and school improvement efforts.			4.5 The Department's employees are highly skilled and high-performing.
1.6 Greater public school choice will be available to students and families.			4.6 Management of our programs and services ensures financial integrity.
1.7 Schools use advanced technology for all students and teachers to improve education.			4.7 All levels of the agency are fully performance driven.

Annual Performance on Objectives

The Department of Education's Strategic Plan includes four goals and twenty-two objectives, as shown in the framework chart (Exhibit 2, page 10). The following section describes our implementation plans for each objective for FY 1999, including key strategies, programs, and performance indicators and performance goals. Since almost all programs in the Department are forward funded, the effects of FY 1999 funding (and in some cases leadership activities and changes in legislation) will not have much effect before FY 2000. Thus many of the performance goals are aimed for the FY 2000 year, rather than FY 1999.

Following the objective plans is a table showing estimated funding (appropriations for programs and for Department salaries and expenses) for the objectives. When a program had multiple functions or components, staff estimated distributions of its funds among the objectives based on knowledge of funding priorities and program components or used information from the most recent evaluation study or performance data on the program. The estimates are provided to show roughly the level of resources supporting a particular objective and double counting is permitted for programs supporting multiple objectives. Building on this initial resource assignment process, strategies to obtain more precise information are under review.

Finally, summary information on the Department's major coordination activities planned for FY 1999 is at the end of this section and a detailed table is provided in Appendix A (page 99). The table is organized by the four Strategic Plan goals, showing coordination activities planned for each federal agency.

Objective 1.1. States develop challenging standards and assessments for all students in the core academic subjects.

Context: All students must have the opportunity to reach high standards of education excellence and all schools should be held accountable for enabling students to achieve. Helping students reach challenging academic standards will prepare them for responsible citizenship, productive employment, and lifelong learning. The FY 1994 reauthorization of the federal elementary and secondary programs, along with Goals 2000, brought federal program support in line with state and local reform efforts, by linking program performance accountability and improvement to progress on challenging standards and assessments.

Key strategies for FY 1999

- **Challenging state content and student performance standards.** Ensure that states follow a rigorous process in developing challenging content and performance standards that meet the requirements of Title I of the ESEA by peer reviewing evidence submitted to the Department of Education; providing technical assistance through peer consultants and regional labs to states; and raising public awareness of standards and assessment issues. The Department will support strategies that implement high standards in the classroom and hold schools accountable for results.
  - Use the $7.8 billion request for Title I Grants to Local Educational Agencies request to help states meet the statutory requirement that they have assessment systems in place to measure student performance against state standards by 2001.
  - Use the $476 million requested for Goals 2000 state grants to support state efforts to implement assessments aligned to curriculum and content standards for at least two core subjects by the year 2000. States distribute 90 percent of their Goals 2000 grants to local educational agencies to fund local standards-based reform efforts.
  - Ensure that States include children with disabilities in their accountability systems through appropriate accommodations on assessments. The Department has requested $3.8 billion for the IDEA State grants program to assist in providing children with disabilities access to high quality education that will help them meet challenging standards.
  - Assist urban and rural school districts with high concentrations of children from low-income families to implement educational reform strategies linked to challenging standards for all students, accountability for results, expanded public school choice, and interventions in failing schools with the $200 million Education Opportunity Zones initiative.
  - The budget includes $15.5 million for the National Institute on Student Achievement, Curriculum, and Assessment, which, among other efforts to improve student achievement in the core academic subjects, supports the UCLA-based Center for Research on Evaluation, Standards, and Student Testing. The Center's research-based findings have been delivered to state-level officials through such organizations as the Education Commission of the States.

- **National assessments in fourth grade reading and eighth grade mathematics.** Support the adoption of national tests to enable states, districts, schools, and parents to benchmark their students' performance against a common measure of achievement aligned with challenging standards.

Coordination

- **National Education Goals Panel.** Work with National Education Goals Panel as well as various organizations and associations to promote strategies to implement standards in the classroom.

- **Department of Defense.** Provide opportunities for interagency collaboration on standards issues. The Department of Defense is represented on the Department of Education's Standards and Accountability Team.

Programs supporting this objective

Standards development by states
- Goals 2000
- Title I
- Fund for the Improvement of Education

State grants
- Goals 2000
- Title I
- School-to-Work Opportunities
- IDEA Part B: State Improvement

Professional development
- Eisenhower Professional Development
- Goals 2000
- Title I

Technical assistance and dissemination
- Comprehensive Regional Assistance Centers
- Eisenhower Regional Consortia
- Fund for the Improvement of Education
- Regional Educational Laboratories
- National Dissemination Activities

Research and demonstration
- Comprehensive School Reform Demonstration
- National Education Research Institutes (Student Achievement Institute)
- Statistics and Assessment
- IDEA Research and Innovation

Selected performance indicators and charts

State progress for Goals 2000 is measured through annual Goals 2000 state reports and the Department's evaluation of the state implementation of Goals 2000 and ESEA programs. The Department has developed a number of indicators to track improvements in instruction based on these new standards and assessments, including the implementation of research-based approaches in Title I schools and the progress of students, particularly those in high poverty Title I schools, in meeting challenging standards.

The percentage of all students performing at the proficient or advanced levels on the National Assessment of Educational Progress (NAEP) in core academic subjects will increase. (Goals 2000 plan, indicator 1.1)

Indicator background and context. The adoption and implementation of challenging content and student performance standards will help all students reach high levels of achievement.

Data source. NAEP, 1996.

Figure 1

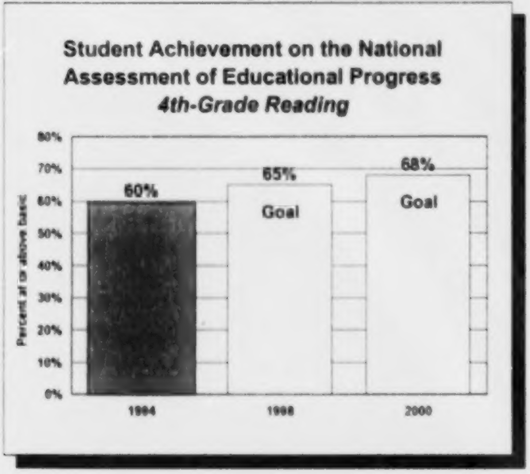
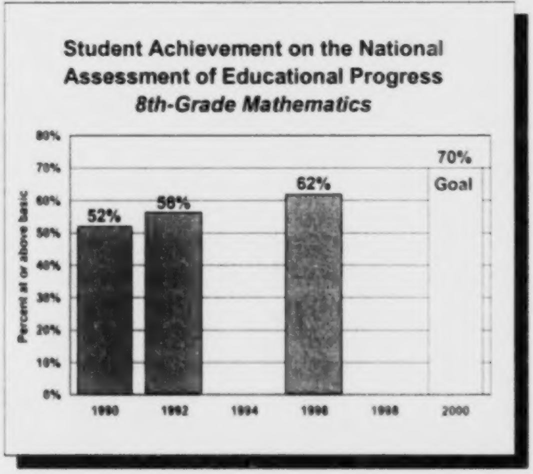


Figure 2

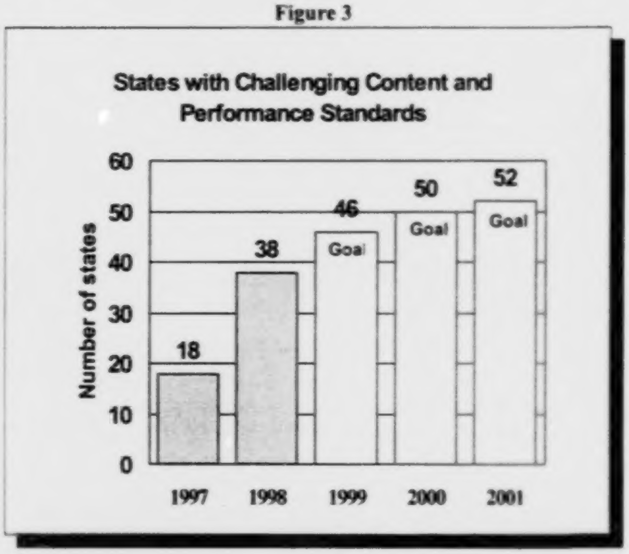


By the end of the 1997-98 school year, all states will have challenging content and student performance standards in place for two or more core subjects. (Goal 1, indicator 8)

Indicator background and context. Almost all states have developed content standards. In 1997, 18 states sufficiently demonstrated that they met the requirement of developing both challenging content and student performance standards in at least reading/language arts and math. In 1998, 20 additional states will complete the development of standards, and by 2001, all states will have challenging content and student performance standards in place.

Data source. Department of Education review of state standards and assessment development process, fall 1997.

Figure 3

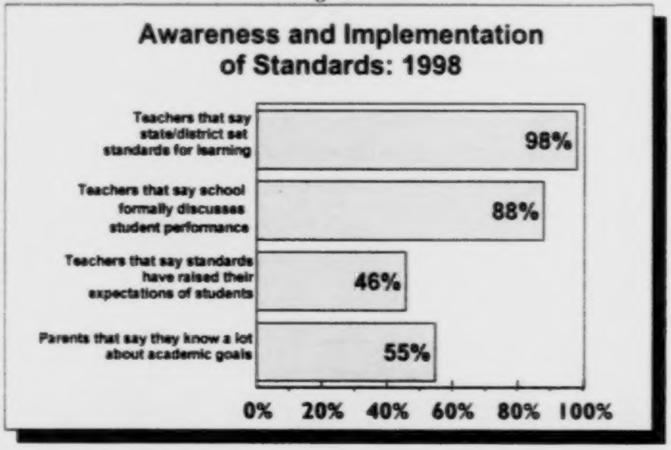


By 2002, increasing percentages of the public and parents will be aware of the importance of challenging academic standards for all children, including at least the majority of parents from low-income families. (Goal 1, indicator 10)

Indicator background and context. The initial challenge for states is to develop high content and student performance standards. For students to reach higher levels of achievement, these standards must be implemented in the classroom; and the public, especially parents, must be made aware of standards. This indicator measures views of teachers about standards in the classroom and parental awareness of goals and standards.

Data source. Public Agenda, 1998

Figure 4



Verification/validation of performance measures: Independent validation of state-reported information on the quality of state standards will be obtained through peer reviews of state-reported processes and information and by reviews of standards by highly respected non-governmental organizations, such as the Council for Basic Education, Achieve, and the American Federation of Teachers. Public awareness and opinions on standards will be obtained through rigorously designed polls that meet acceptable statistical standards. The congressionally mandated Independent Review Panel for the National Assessment of Title I and the Federal Impact on Reform, supported by the Planning and Evaluation Service, will review the methodology of the studies, the findings of the evaluations, and the interpretation of results.

Objective 1.2. Every state has a school-to-work system that increases student achievement, improves technical skills, and broadens career opportunities for all.

Context: School-to-Work (STW) aims to improve learning by connecting what goes on in the classroom to future careers and to real work situations and to increase student access to opportunities for postsecondary education and advanced training. Enacted in 1994, the School-to-Work legislation sunsets in 2002.

Key strategies for FY 1999

- **STW systems.** Support state and local development of school-to-work systems by including $125 million for the School-to-Work Opportunities program in the FY 1999 Education Department budget, with an identical amount provided in the Department of Labor request. Eight states will receive their final implementation grant in 1998, and 19 states will be in their final year in 1999, reflecting the institutionalization of school-to-work systems envisioned in the authorizing statute.

- **Curriculum improvement.** The Department is requesting $1.0 billion for a reauthorized Vocational Education State Grants program that supports state and local efforts to integrate vocational and academic education and to link secondary and postsecondary education.

- **Transition to postsecondary education.** The $106 million request for Tech-Prep Education helps give students the technical skills required by high-tech careers and complements state efforts to build statewide school-to-work systems.

- **Technical assistance.** Improve and expand school-to-work programs by providing technical assistance to help make states with planning grants eligible for implementation grants, and by supporting four national and 10 state conferences focused on specific issues of program practice and evaluation.

- **Employer participation.** Increase employer support through targeted outreach and collaboration with the STW National Employer Leadership Council and by grants to encourage participation by state and local industry groups and trade associations.

- **Out-of-school youth.** Increase participation of out-of-school youth by working with Job Corp Centers and adult high schools.

Coordination

- **Department of Labor**. The Departments of Education and Labor jointly administer the National School-to-Work Office and will improve the management of this program by aligning grant-making, audit, technical assistance, and performance reporting functions.

- **Job Corps.** Job Corps Centers are being encouraged to emphasize adoption of school-to-work concepts.

Programs supporting this objective

State grant programs

- School to Work Opportunities program
- State Grants for Vocational Education
- Tech-Prep Education
- IDEA Grants to States
- Title I

Research, development, and technical assistance

- IDEA Research and Innovation
- Vocational Education National Programs and National Center for Research on Vocational Education

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- National Research Institute on Postsecondary Education, Libraries, and Lifelong Learning
- Statistics and Assessment
- National Institute on Disability and Rehabilitation Research

Selected performance indicators and charts

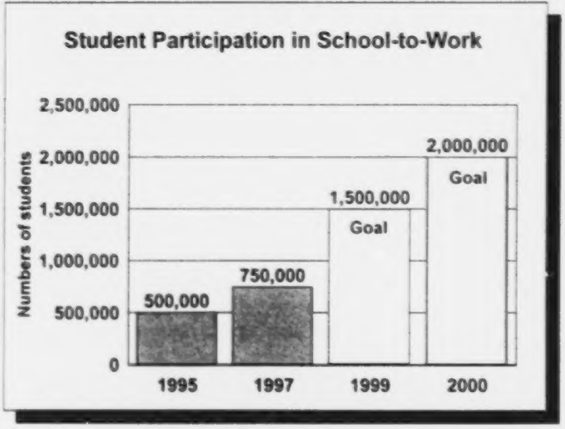
Performance indicators in the Strategic Plan for objective 1.2 focus on expected outcomes from vocational education and school-to-work, as well as indicators that track student and stakeholder participation in recent reform efforts in these areas.

Two million youth will be engaged actively in school-to-work systems by fall 2000. (Goal 1, indicator 14)

Indicator background and context. Baseline data for 1995 indicate that 500,000 students participated in one or more school-to-work activities with a goal of 2,000,000 participants projected by the year 2000. (See figure at right.)

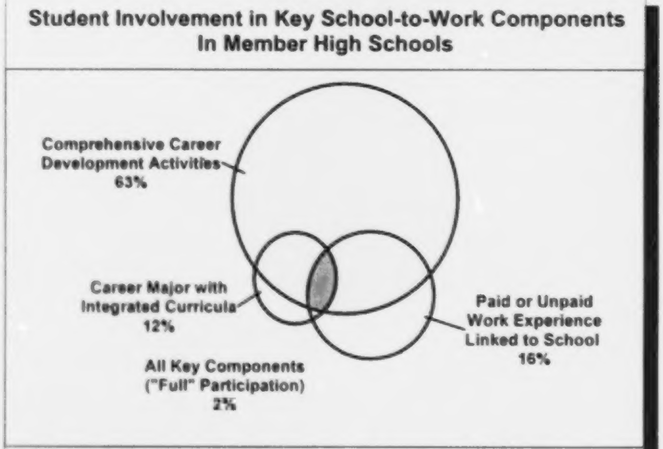
Although participation in career development activities (job shadowing, employer site visits) is fairly common, baseline data for 1996 high school graduates show that very few students (2%) were actively engaged in a program of study that included all of the core components of STW (see figure below).

Figure 5



Data source. *School-to-Work Progress Measures*, 1996

Figure 6

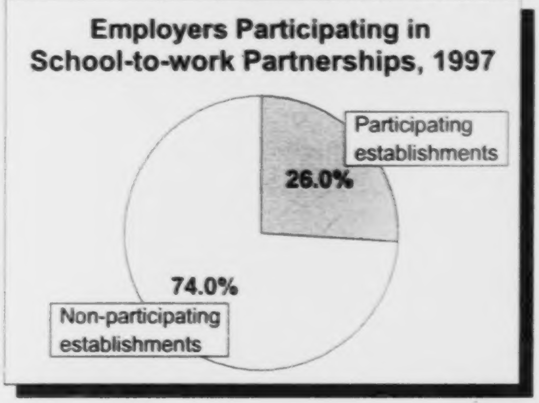


Note: Work experience is considered "linked to school" if workplace performance counts towards grades and class assignments draw on the workplace experience.

Data source. *Partners in Progress: Early Steps in Creating School-to-Work Systems*, Mathematica Policy Research, 1997

By fall 1997, 400,000 employers nationally will engage in at least one recognized STW activity. By fall 2000, 600,000 employers will engage in at least one recognized STW activity.
(School-to-Work program performance plan, indicator 5.1).

Figure 7


Employers Participating in School-to-work Partnerships, 1997

Indicator background and context. Data from a national survey of employers shows that, in 1997, 26 percent of sampled establishments (work sites) reported participating in school-to-work partnerships.

Data source. *Bringing School-to-Work to Scale: What Employers Report,* National Employer Survey, 1997.

Verification/validation of performance measures: Grantee-reported data on student participation and outcomes will be validated by comparing results with independent evaluations involving student surveys, analysis of high school records, case studies, and annual surveys of all STW local partnerships.

Objective 1.3. Schools are strong, safe, disciplined, and drug free

Context: Schools must provide a safe and drug-free environment if students are to learn effectively. Drug and violence prevention plays a critical role in ensuring such environments. School modernization also contributes to strong, safe schools.

Key strategies for FY 1999

- **Principles of Effectiveness**. Promote the Department's Safe and Drug Free Schools Program Principles of Effectiveness through evaluations and technical assistance to ensure state and district use of effective prevention strategies.
- **Program restructuring.** Restructure the Safe and Drug-Free Schools Program by increasing the emphasis on discretionary grants to support implementation of the Principles of Effectiveness. The Department is requesting $526 million for Safe and Drug-Free Schools State Grants to support comprehensive, integrated prevention approaches. The Department is proposing to earmark $125 million of that state grant total to test whether better results can be obtained through a competitive grant approach than through the traditional formula grants.
- **Coordinators.** Implement a new $50 million Safe and Drug-Free Schools initiative to support the hiring of about 1,300 program coordinators—enough to serve nearly one-half of all middle schools—to assess drug and violence problems, identify effective, research-based strategies, assist staff with program implementation, and build links with community-based prevention programs.
- **President's Report Card.** Implement the President's Report Card on School Violence in cooperation with the Department of Justice to encourage public awareness of school safety issues and to encourage schools and communities to monitor safety and improve prevention strategies.
- **After-school programs.** Expand the 21st Century Community Learning Centers program by $200 million to support about 4,000 before- and after-school programs—serving up to half a million students—to keep schools open as safe havens while providing extended learning activities to improve achievement and prevent youth violence and substance use. The Department will coordinate with supporting activities to be funded through a five-year, $55 million private donation by the C.S. Mott Foundation to enhance the quality of before- and after-school programs.
- **School modernization.** Provide federal tax credits to pay the interest on nearly $22 billion in school modernization bonds to construct or renovate public school facilities. This proposal calls for $11.1 billion in interest-free bonds in 1999 and an identical amount in 2000. The proposed National Clearinghouse for Educational Facilities would disseminate information on cost-effective ways to construct, renovate, and maintain educational facilities.

Programs supporting this objective

Grants for services
- Safe and Drug-Free Schools Grants to States
- Safe and Drug-Free Schools Coordinators
- 21st Century Community Learning Centers
- Impact Aid

Statistics
- National Center for Education Statistics

Development, dissemination, and technical assistance
- Safe and Drug-Free Schools National Programs
- Comprehensive regional assistance centers

Coordination

- **Data.** Implement the President's Report Card on School Violence, with the Department of Justice (DOJ); make maximum use of other agencies' data, e.g., Department of Health and Human Services

(HHS) [Monitoring the Future, National Institute on Drug Abuse (NIDA); Youth Risk Behavior Surveillance System, Centers for Disease Control] and DOJ [National Crime Victimization Survey].

- **Evaluation**. Continue to cooperate on evaluation projects with DOJ [e.g., National Study on School Violence, being conducted in cooperation with the National Institute for Justice-sponsored National Study of Delinquency Prevention in Schools] and HHS [e.g., School Health Policies and Program's Study, for which ED is providing consultation].
- **Prevention activities.** Continue to pursue joint projects, such as the truancy and hate crimes initiatives [with DOJ's Office of Juvenile Justice and Delinquency Prevention (OJJDP)]; efforts to provide training and technical assistance to educators, communities, and states [with OJJDP, DOJ's Office for Victims of Crime, HHS's Center for Substance Abuse Prevention, HHS's Maternal and Child Health Bureau, NIDA, and the National Endowment for the Arts]; and support for the HHS Secretary's Initiative on Youth Substance Abuse Prevention [with HHS's Substance Abuse and Mental Health Services Administration, HHS's National Institute on Alcoholism and Alcohol Abuse, NIDA, the Office of National Drug Control Policy, and other agencies].

Selected performance indicators and charts

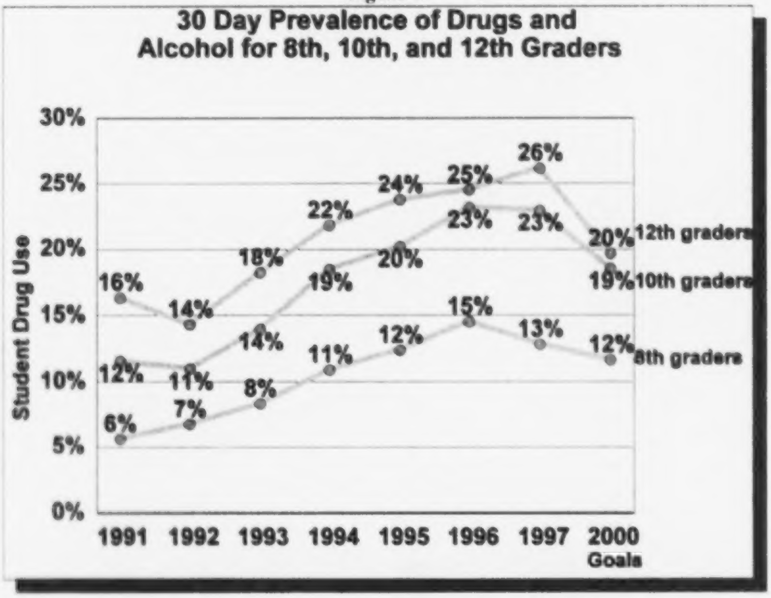
The Department is monitoring progress on this objective in terms of the national trends in student drug and alcohol use, in-school use, and attitudes towards drugs and alcohol as a precursor to behavior, as well as national trends in student victimization and violent incidents in schools. The Department is also focusing on indicators of the quality of drug and violence prevention programs as a result of problems identified by evaluations of the antecedent Drug-Free Schools and Communities Act.

By 2000, reduce the prevalence of past month use of illicit drugs and alcohol among youth by 20% as measured against the 1996 base year. (Office of National Drug Control Policy (ONDCP) target)

Indicator background and context. While rates of student drug use have shown increases in recent years, 1997 data indicate that—although marijuana continues its longer-term rise among older teens—use of a number of other illicit drugs has begun to level off.

Data source. *Monitoring the Future*, 1991-1997.

Figure 8



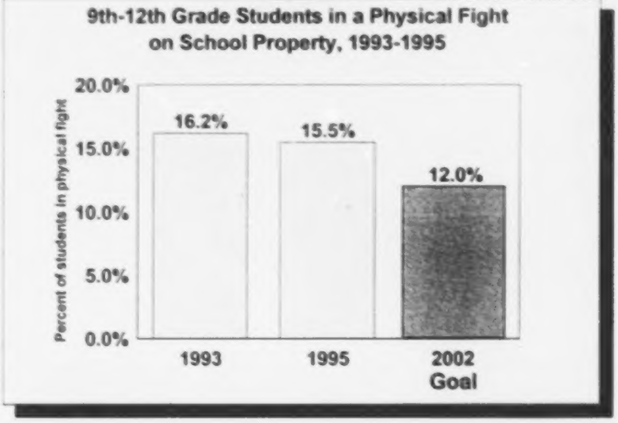
30 Day Prevalence of Drugs and Alcohol for 8th, 10th, and 12th Graders

The number of criminal and violent incidents in schools by students will continually decrease between now and 2002. (Goal 1, indicator 20)

Indicator background and context. Student-reported rates of victimization provide one measure of school safety; these rates may differ from incident reports provided by administrators. Although long-term trend data are not available, data for recent years suggest that student victimization rates are currently relatively stable.

Data source. Youth Risk Behavior Surveillance System, 1993-1995.

Figure 9



By 1999, all LEAs will use prevention programs that are based on the Principles of Effectiveness. (Safe and Drug-Free Schools Program plan, indicator 5)

Indicator background and context. The Department is developing Principles of Effectiveness for the SDFSCA program to ensure that states and districts implement effective prevention approaches.

Data source. No data are currently available on the number of local education agencies implementing the Principles of Effectiveness. This information is being collected starting in FY 1998 through district surveys and state performance reports. A new evaluation will examine the quality of implementation of the Principles during the first years they are in effect.

Figure 10

U.S. Department of Education's Principles of Effectiveness for Drug Prevention Programs

Effective July 1998:

- *Grant recipients will base their programs on a thorough assessment of objective data about the drug and violence problems in the schools and communities served.*
- *Grant recipients will, with the assistance of community representatives, establish a set of measurable goals and objectives, and design their activities to meet those goals and objectives.*
- *Grant recipients will design and implement their activities based on research or evaluation that provides evidence that the strategies used prevent or reduce drug use, violence, or disruptive behavior.*
- *Grant recipients will evaluate their programs periodically to assess their progress toward achieving their goals and objectives and use their evaluation results to refine, improve, and strengthen their program and to refine their goals and objectives as appropriate.*

Verification/validation of performance measures: Data on performance measures will be obtained from multiple data sources—rigorously designed and nationally representative independent data collections including: Monitoring the Future (University of Michigan/HHS), the Youth Risk Behavior Surveillance System (CDC), and the National Crime Victimization Survey (Bureau of Justice Statistics). Evaluation studies sponsored by ED include technical working groups to provide independent consultation.

Objective 1.4. A talented and dedicated teacher is in every classroom in America.

Context: A talented, dedicated, and well-prepared teaching force is one of the most important ingredients for successful educational reform. Teachers' knowledge and skill make a crucial difference in what students learn. However, many classrooms do not have a talented and dedicated teacher who is adequately prepared for the challenges of today. For example, nearly 28% of teachers of academic subjects have neither an undergraduate major or minor in their main assignment fields. In addition, 22% of all new teachers leave the profession within the first three years.

Key strategies for FY 1999

- **Improved teacher recruitment, preparation of future teachers, and retention of new teachers.**
  - Enact and effectively implement the new $67 million Teacher Recruitment and Preparation program that would support high-quality teacher preparation, as well as the recruitment of new teachers for high-poverty urban and rural areas that have the most difficulty in attracting and retaining a qualified and talented teaching force.
  - A new $75 million Teacher Training in Technology initiative would make grants to states, teacher colleges, and other organizations to help ensure that all new teachers can use technology effectively in the classroom.
  - The budget includes $1.1 billion in mandatory funds to begin a Class Size Reduction Initiative that, over the next 7 years, would recruit and train 100,000 new teachers in order to help reduce class sizes in grades 1-3 to a nationwide average of 18.

- **Rigorous standards for teachers**. Provide on-going support for the National Board for Professional Teaching Standards (NBPTS) and the Interstate New Teacher Assessment and Support Consortium (INTASC). The NBPTS establishes rigorous standards and assessments for certifying accomplished teaching. INTASC is a program of the Council of Chief State School Officers and is a consortium of state education agencies, higher education institutions, and national educational organizations dedicated to reform in education, licensing and on-going professional development of teachers.

- **Strengthened professional development.**
  - Embed ED's Mission and Principles of High-Quality Professional Development in all appropriate legislation and disseminate information on effective policies and practices to the field.
  - Through the National Awards Program for Model Professional Development, promote results-oriented professional development that focuses on improving student achievement.
  - The $335 million request for Eisenhower Professional Development State Grants would support intensive, high-quality professional development aimed at ensuring that all teachers have the expertise needed to prepare their students to meet high standards.
  - The $50 million request for Bilingual Education Professional Development would double support for helping meet the critical need for fully certified bilingual education and ESL teachers.

- **Research, development and dissemination on teacher quality and accountability.** Continue to monitor and support the contract for the National Partnership for Excellence and Accountability in Teaching (NPEAT)—a partnership of researchers, teaching experts and advocates, teaching and teacher associations, subject matter associations, national policy groups, and regional laboratories. NPEAT activities include research, workshops, conferences, publication of information, technical assistance and capacity building. Continue to support and monitor the grant for the Center for the Study of Teaching and Policy at the University of Washington.

- **Public awareness.** Issue the first biennial national report card on teacher quality by the end of 1998.

Coordination

- **Coordination with NSF and NASA.** Work with the National Science Foundation (NSF) on several projects to improve mathematics education. The two agencies will jointly award capacity-building grants to districts to help strengthen district-level coordination of federal programs for math education. Key programs include those that support teacher professional development. ED will also be working with the National Aeronautical and Space Administration (NASA) and NSF to prepare a "roadmap" for teacher preparation to improve the training of future teachers of mathematics.

- **Coordination within ED.** ED's cross-office Professional Development Team will continue to improve the coordination of ED's programs that support professional development by sharing information and strategies across programs and by sponsoring training opportunities on teacher professional development for ED staff.

Programs supporting this objective

Programs solely for teacher training or professional development

- Eisenhower Professional Development State Grants
- HEA Title V Teacher Recruitment and Preparation
- Teacher Training in Technology
- IDEA Personnel Preparation
- Telecommunications Demonstration Project for Mathematics
- National Writing Project
- Bilingual Education Professional Development

Programs for technical assistance and/or research

- Eisenhower Professional Development Federal Activities Program
- Eisenhower Regional Consortia
- Regional Educational Laboratories
- National Education Research Institutes
- Comprehensive Regional Assistance Centers
- Statistics and Assessment

Programs for instructional services *and* professional development

- Title I grants to local education agencies
- Technology Literacy Challenge Fund
- IDEA State Improvement Grants
- IDEA State Grants (B, C, D subpart 1)
- Bilingual Education
- Goals 2000
- Class Size Reduction Initiative
- Educational Opportunity Zones
- America Reads Challenge
- Star Schools
- Javits Gifted and Talented Education

Selected performance indicators and charts

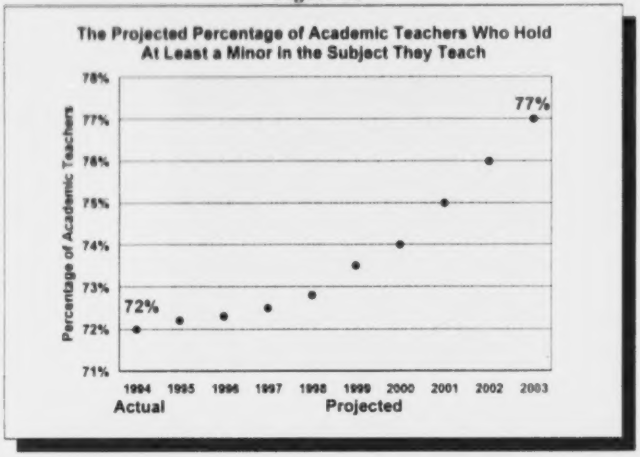
Performance indicators in the Strategic Plan for objective 1.4 focus on outcomes that demonstrate an increase in the percentage of classroom teachers who are dedicated, talented and adequately prepared to teach to high standards. One of the indicators summarized here is a key outcome indicator the percentage of secondary school teachers who have at least a minor in the subject they teach. The other indicator is a key process indicator because it involves the number of assessment packages and certificates that will be offered by the National Board for Professional Teaching Standards. Without the availability of National Board assessment packages and certificates in the vast majority of teaching fields, most teachers will not be able to apply for National Board Certification.

Throughout the nation the percentage of secondary school teachers who have at least a minor in the subject they teach will increase annually. (Goal 1, indicator 30.)

Indicator background and context. Data from the 1993-94 Schools and Staffing Survey (SASS) indicate that only 72 percent of teachers of academic subjects have a major or minor in their main assignment field (SASS, 1994). (This statistic includes secondary teachers and a very small number of elementary teachers who are assigned to individual academic fields.) Our goal is that the percentage of teachers with at least a major or minor will continually increase and will increase at a faster rate over the next several years as more teachers retire and new teachers are hired to take their place.

Our goal is that by 2002, 77 percent of teachers of academic subjects will have a major or minor in the subject they teach. Seventy-seven percent is approximately half-way between our baseline (72% in 1993-94) and the percentage in the state that has the highest percentage of secondary teachers who *hold a degree* in the subject they teach—81 percent in Minnesota. (The 81 percent does not include teachers who hold a minor.)

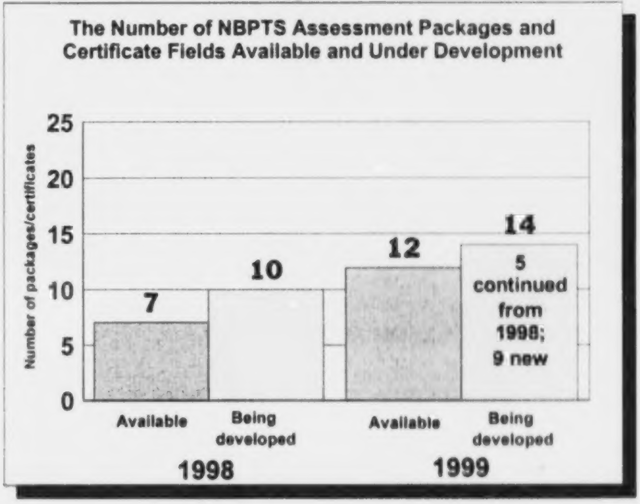
Figure 11



Data source. National baseline data from the 1993-94 Schools and Staffing Survey (SASS). Future national data will come from the 1999-2000 SASS and future SASS. Minnesota data from *National Education Goals Panel Report,* 1996.

Standards and assessments developed, approved, and offered by the National Board for Professional Teaching Standards will increase annually, reaching a cumulative total of at least 25 teaching fields by the year 2002. (Eisenhower Federal Activities Program indicator.)

Figure 12



Indicator background and context. One of the performance indicators for objective 1.4 is that "the number of nationally board certified teachers will increase to reach 105,000 by 2006." In order to reach that goal, the National Board for Professional Teaching Standards (NBPTS) will offer assessment packages and certificates in a wide range of fields so that most teachers in the Nation can apply for National Board Certification in their teaching fields.

By 1999, packages for five of the fields that are under development in 1998 will be completed. *Thus, in 1999, the NBPTS will offer certificates in 12 teaching fields that will provide approximately 62.4 percent of the teaching population with access to National Board Certification.* When the 14 fields under development in 1999 are completed (in 2000, 2001 and 2002), a total of 26 certificates will be available, and 95 percent of the teaching population will have access to National Board Certification. **Data source**. National Board for Professional Teaching Standards.

Verification/validation of performance measures: A national evaluation of professional development and federal program support conducted by the Planning and Evaluation Service will provide rigorous, independent performance data on teaching and professional development. Successful accomplishment of these objectives will also be verified using national representative data from the National Center for Education Statistics and from the National Board for Professional Teaching Standards.

Objective 1.5. Families and communities are fully involved with schools and school improvement efforts.

Context: Family involvement in their children's learning, more than socioeconomic status or parent's educational level, is the greatest predictor of academic achievement. As such, involving families and community members in children's learning can be a powerful school improvement force. As a means of helping all children achieve to high standards and improving schools, the U.S. Department of Education initiated a unique private-public partnership in 1994, known as the Partnership for Family Involvement in Education. The Partnership and its 4,000 members focus on specific national activities—America Goes Back to School, The America Reads Challenge, Think College Early, and After-School Extended Learning. In addition, parent and community involvement is promoted through the Department's programs—Title I, Even Start, special education, bilingual education, migrant education, postsecondary education, and Goals 2000.

Key strategies for FY 1999

- **Financial support for federal programs that support families in helping their children learn**.
  - Support the start up or expansion of 3,800 21st Century Community Learning Centers that would provide extended learning services to over a half million students ($200 million in FY 1999).
  - Create local "High Hopes" College-School Partnerships ($140 million under proposed legislation).
  - Continue family literacy programs through Even Start ($115 million).
  - Support Goals 2000 Parent Information and Resource Centers that exist in every state and territory ($25 million).
  - Continue to support IDEA parent centers for families of children with disabilities ($20.5 million).

- **Partnership for Family Involvement in Education**.
  - Support Read*Write*Now!, the summer reading component of the America Reads Challenge, promoting the development of literacy skills
  - Engage local communities in America Goes Back to School, which encourages parent and community involvement in schools throughout the year.
  - Engage middle schools students, their families and teachers in the Think College Early nationwide campaign
  - Promote the creation of 500 new after-school programs in fulfilment of the Partnership's America's Promise pledge
  - Partner with member organizations to further their own family involvement activities.
  - Sign on new members to the Partnership for Family Involvement in Education and continue to involve them in the four major initiatives of the Partnership—America Goes Back to School, READ*WRITE*NOW!, Think College Early, and After-School Learning.

- **Technical assistance**.
  - Provide federal program assistance and support for family involvement in children's learning through Title I compacts
  - Provide training materials for teachers and school administrators on the importance of family involvement in education

- **Research.** Develop and implement a long-range applied research agenda to strengthen family involvement in children's learning.

Coordination

- **Partnerships with organizations representing families, schools, communities, religious faiths, and employers.** Work through the Partnership for Family Involvement in Education to successfully implement national and sector-initiated activities, such as teacher training modules, compacts, conferences, guidebooks, and tutoring and mentoring programs.

- **Work group on after-school time.** Work with the Departments of Health and Human Services, Housing and Urban Development, Agriculture, Justice, and Corporation for National Service on coordinating department efforts that make the most of young people's out-of-school time.

Programs supporting this objective

Direct assistance to parents
- Goals 2000 Parental Assistance
- IDEA Parent Information Centers
- IDEA Infants and Families (Part C)
- Even Start
- Bilingual Education
- Ready to Learn Television

Reading
- Inexpensive Book Distribution
- Ready to Learn Television
- Comprehensive Regional Assistance Centers
- Regional Educational Laboratories

Information on college
- TRIO programs
- High Hopes College-School Partnerships

Family-school partnership building
- Title I Grants to LEAs
- IDEA State Grants
- Migrant Education
- Safe and Drug-Free Schools
- Comprehensive Regional Assistance Centers
- Regional Educational Laboratories

After-school
- 21st Century Community Learning Centers grants to schools
- Title I Grants to LEAs
- IDEA State grants (Part B)
- Regional Educational Laboratories

Selected performance indicators and charts

Performance indicators for objective 1.5 focus on two different aspects of the program—participation in after-school programs and parent participation in parent-teacher conferences. Both of these performance indicators are important to measuring family involvement in education from the vantage point of the parent and the child.

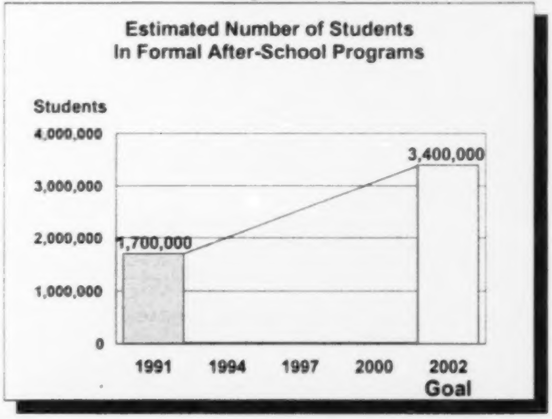
By 2002, the number of children participating in after-school programs will double, from 1.7 million to 3.4 million children. (Goal 1, indicator 34)

Indicator background and context. While a number of communities are already developing after-school programs, *such programs are not wide-spread,* particularly in the public schools.

- In 1995, there were 23.5 million school-aged children with parents in the workforce. But as recently as the 1993-94 school year, 70 percent of all public elementary schools did not have a before- or after-school program.

- In addition, the majority of extended-day programs are aimed at kindergarten and early

Figure 13



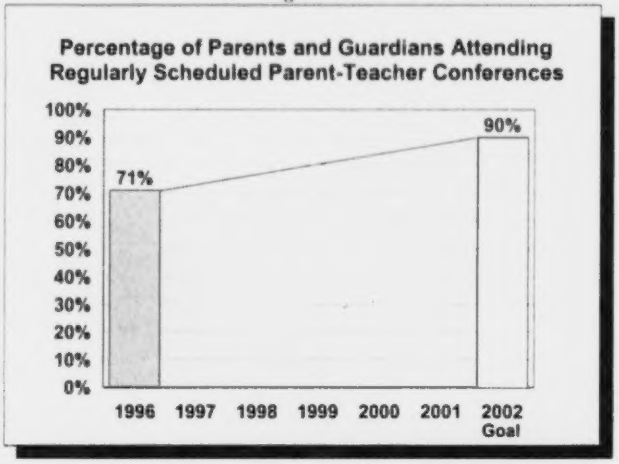
elementary school students, and focus on supervised care rather than academic instruction.

Data source. Seppanen, P., Love, J., deVries, D. And Bernstein, L. (1993). *National Study of Before-and After-School Programs*. Washington, D.C.: U.S. Department of Education.

The percentage of parents who meet with teachers about their children's learning will show continuous improvement, reaching 90 percent by 2002. (Goal 1, indicator 32)

Indicator background and context. Although schools almost universally sponsor various programs for parents, parents frequently do not attend these events. School events that feature some interaction with students' teachers, especially parent-teacher conferences, appear to attract more parents than other types of events. This is important since families who are consistently informed about their children's progress at school have higher-achieving children. Parent-teacher conferences are once important way to establish a partnership founded on improving children's learning.

Figure 14



Data source. U.S. Department of Education, National Center for Education Statistics, National Household Education Survey, 1996.

Verification/validation of performance measures: The Steering Group of the "Partnership for Family Involvement in Education," composed of representatives from outside organizations engaged in family involvement, will review all indicator data. Information will be collected through rigorously designed and independently administered surveys of schools and families as part of program evaluations and of collections by the National Center for Education Statistics.

Objective 1.6. Greater public school choice will be available to students and families.

Context: Research suggests that public school choice fosters a sense of ownership among school staff, students, and parents that promotes successful efforts toward common goals. Public school choice can encourage greater flexibility in school offerings to address the needs of families and communities, while maintaining accountability for students meeting challenging state standards of performance. According to a 1993 survey of parents, approximately 12 percent of all U.S. students in grades 3-12 attended a public school that their families chose. Public school choice operates through a variety of mechanisms, including charter schools, magnet schools, open enrollment policies, and postsecondary options. The Department of Education supports the expansion of public school choice primarily through its Public Charter Schools Program and Magnet Schools Assistance Program.

Key strategies for FY 1999

- **Financial support for public schools of choice.**
  - Support the planning and start-up costs of up to 1,400 charter schools (serving about 400,000 students) through the FY 1999 request for $100 million for the Public Charter Schools Program.
  - Support magnet school projects in approximately 60 school districts (with an average of 7 or 8 magnet schools per district) through the $101 million request for Magnet Schools Assistance.

- **High quality and timely technical assistance.**
  - Hold a Magnet Schools Technical Assistance Conference.
  - Hold the 2nd National Charter Schools Conference.
  - Encourage interest and understanding of charter schools through conducting informational/outreach meetings in states with new charter school laws.
  - Provide ongoing technical assistance to magnet schools and charter schools through the Equity Assistance Centers and the comprehensive regional assistance centers.

- **Research and evaluation.**
  - Release the Year 3 report of the National Study of Charter Schools.
  - Commence an evaluation of the Public Charter Schools Program.
  - Commence an evaluation of the Magnet Schools Assistance Program.

- **Public outreach.**
  - Write and publish articles in newspapers, parent organization newsletters, and/or educational journals regarding public school choice.
  - Disseminate "A Parent's Guide to Public School Choice" widely.

Coordination

- **Partnerships to promote charter schools in DC.** Work with other federal agencies and the District of Columbia school system to encourage their adoption or support of public charter schools in the district.

Programs supporting this objective

Grants supporting magnet and charter schools
- Magnet Schools Assistance Program
- Public Charter Schools Program

Research
- Statistics and Assessment

Technical assistance and dissemination
- Comprehensive Regional Assistance Centers
- Title IV (Civil Rights Act) Centers

Selected FY 1999 performance indicators and charts

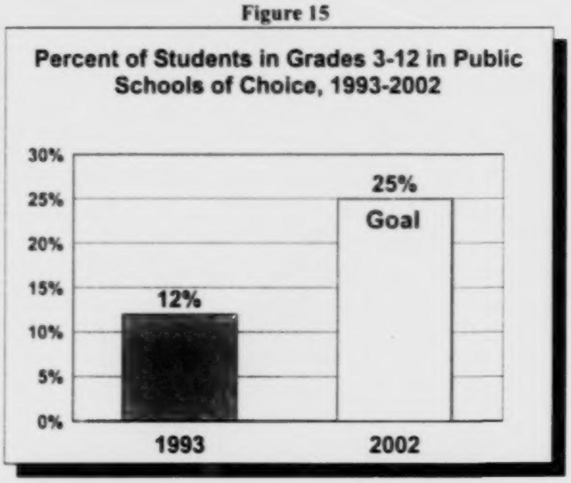
The Department of Education measures its progress toward meeting the objective of increased public school choice availability by, among other indicators, tracking the percent of students in public schools of choice and the number of charter schools in operation across the country.

By 2002, 25% of all public school students in grades 3-12 will attend a school that they or their parents have chosen. (Goal 1, indicator 35)

Indicator background and context. The growth in charter schools, magnet schools and other public school choice strategies will result in increasing percentages of students enrolled in such schools.

Data source. National Household Survey, 1993 and 2002.

Figure 15

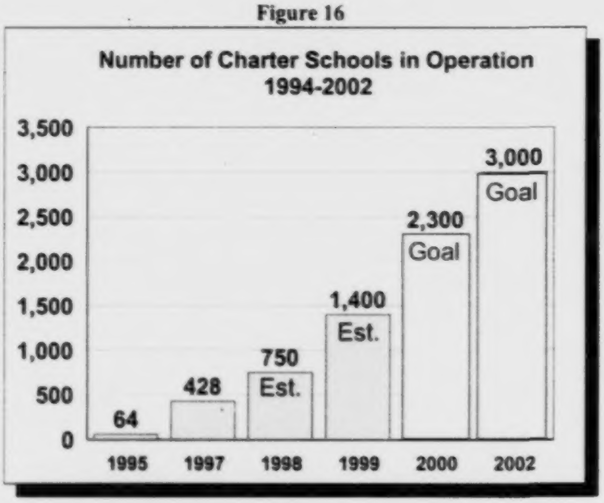


By 2002 there will be 3,000 charter schools in operation around the nation. (Goal 1, indicator 37)

Indicator background and context. The number of charter schools operating nationwide has been growing rapidly since the first charter school opened in 1992. Currently, there are roughly 750 charter schools in operation, and this pace is expected to continue.

Data source. RPP report *A Study of Charter Schools: First Year Report (1997)* and projected estimates of the number of charter schools that can be expected to start up in states with charter school legislation.

Figure 16



Verification/validation of performance measures: Information sources include an independent evaluation of the Public Charter Schools Program as well as the National Study of Charter Schools, a nationally representative study conducted by RPP International. Additionally, two periodic and rigorously designed Department data collections—the Schools and Staffing Survey and the National Household Education Survey--will be used.

Objective 1.7. Schools use advanced technology for all students and teachers to improve education.

Context: Research has found that educational technology, when used effectively, can significantly improve teaching and learning. The impact of technology on educational achievement is expected to grow with improvements in software and hardware. The educational resources of the Information Superhighway are growing rapidly. However, many students and teachers—particularly those in high-poverty or rural schools—have little access to these resources.

The "four pillars" of the President's Educational Technology Challenge—(1) professional development for effective use of educational technology; (2) student classroom access to modern multimedia computers; (3) classroom connections to the Information Superhighway; and (4) integration of technology for improved teaching and learning to high standards—work to ensure that no child is left behind.

Educational technology continues to be a high priority and we have made significant progress on our goals to put modern computers in our classrooms and connect them to the information superhighway. With increasing access to computers and telecommunications, we must be sure that teachers also have the training and support they need to effectively use this investment.

In response to this significant need, the Administration's educational technology FY 99 investments will place special emphasis on technology training for teachers, to ensure that all new teachers entering the workforce can use technology effectively in the classroom and that there is at least one teacher who can serve as a technology expert in every school to help other teachers use technology. In addition, the FY 99 budget request provides funding for new research and expanding the role of technology for life long learning.

Key strategies for FY 1999

- **Financial support for leveraginge State and local initiatives for effective use of educational technology.**
  - Use the $475 million request for the Technology Literacy Challenge Fund to support more grants to local districts to expand efforts to train teachers, get computers, connect schools to the internet, and develop and buy software.
  - Encourage states to devote at least 30 percent of the funds to provide teachers with the professional development they need to use technology effectively in the classroom.

- **Teacher training and support to effectively integrate information technology into their teaching.**
  - Use the $75 million Teacher Training in Technology initiative to make grants to states, teacher colleges, and other organizations to help ensure that all new teachers can use technology effectively in the classroom.
  - Utilize a portion of the $106 million request for Technology Innovation Challenge Grants to support 24 new awards to local partnerships among educators, business, and industry aimed at developing or adapting technology to improve the quality of teaching.
  - Report on current teacher preparation programs and encourage higher education institutions to incorporate technology literacy and classroom application in coursework for entering teachers.

- **Technology connections, especially for high-poverty and rural schools.**
  - Encourage schools to greatly expand their use of technology through the *E-Rate*, or universal service program, created under the Telecommunications Act of 1996. The *E-Rate* offers schools and libraries discounts of from 20 to 90 percent—worth as much as $2.25 billion a year—on Internet services and networking hardware and software.

  - Monitor progress of school and library applications for E-rate and provide technical assistance and dissemination of information regarding E-rate.
  - Encouraging targeting of Technology Literacy Challenge Fund resources to LEAs with high poverty and the greatest need for educational technology.

- **Effective software and on-line applications.**
  - Identify and disseminate information on promising content-based projects in educational technology programs.
  - Through interagency effort, make hundreds of Internet-based education resources, supplied by the U.S. Federal government, easier for teachers and students to find.

- **Information for performance improvement.**
  - Develop evaluations and program indicators that provide information on progress on the 4 pillars and on program effectiveness in using educational technology to improve teaching and learning for all students.

Coordination

- Work with the Federal Communications Commission and the Schools and Libraries Corporation to effectively implement effective use of the "E-rate".
- Work with the Office of Science and Technology Policy to complete interagency action plan on learning technologies research and development.
- Work with state technology coordinators, businesses, foundations and other groups to support and monitor progress on the educational technology goals.

Programs supporting this objective

Formula grant programs for services and equipment

- Goals 2000 grants to states
- Technology Literacy Challenge Fund

Discretionary grant programs for services and equipment

- IDEA Technology and Media Services

Technical assistance

- Comprehensive Regional Assistance Centers
- Regional Technology in Education Consortia

Performance information

- Statistics and Assessment

Demonstrations

- Eisenhower Math/science Regional Consortia
- Urban Community Service
- Telecommunications Demonstration Project for Math

Development and dissemination

- Technology Innovation Challenge Grants
- Regional Educational Laboratories
- Star Schools
- NIDRR
- Assistive Technology
- Ready to Learn Television
- Eisenhower Professional Development Federal Activities

Selected performance indicators and charts

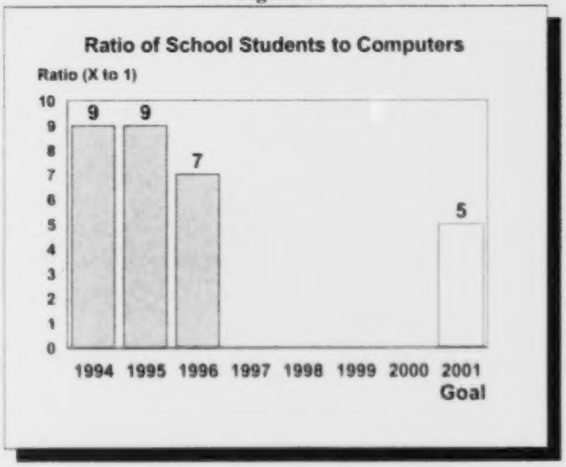
The performance indicators included in the Strategic Plan for objective 1.7 relate to the expected outcomes of effectively implementing the four pillars, including a critical end outcome (improved student achievement) and key process indicators that will show how the education system is changing to make better use of educational technology.

The ratio of students per modern multimedia computer will improve to 5:1 by 2001. (Goal 1, indicator 40)

Indicator background and context. The ratio of students to computers was 9 to 1 in 1995. This fell to 7 to 1 in 1996. High poverty schools often have more students sharing a computer. The number of students per multimedia computer was 21.1 in 1997.

Sources. Advanced Telecommunications Survey, MDR, QED.

Figure 17

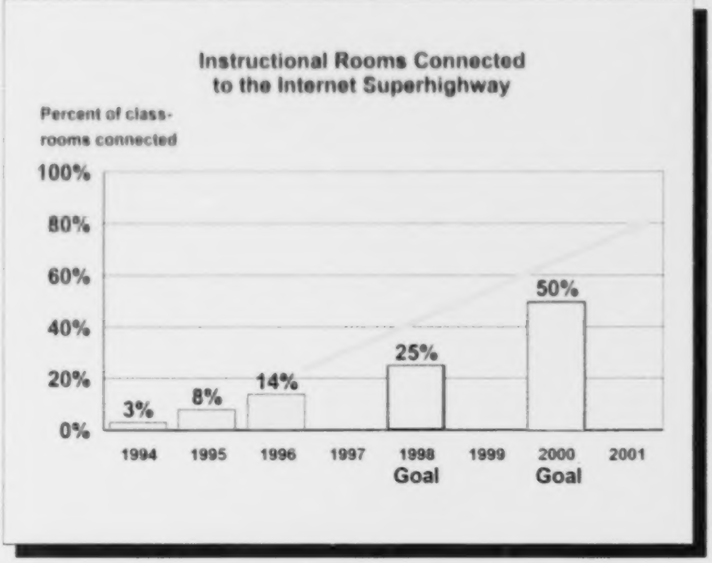


The percentage of public school instructional rooms connected to the Information Superhighway will increase from 14% in 1996 to 25% in 1998, and higher percentages thereafter. (Goal 1; indicator 41)

Indicator background and context. The number of instructional rooms in public schools connected to the Information Superhighway grew from 3% in 1994 to 8% in 1995, to 14% in 1996.

Sources. NCES Advanced Telecommunications,

Figure 18



Verification/validation of performance measures: Independent evaluations conducted by the Planning and Evaluation Service will report on the federal technology programs at the state, local, and school levels. Statistically valid national surveys of technology implementation will be obtained through the National Center for Education Statistics. Independent expert groups in the technology field will provide guidance on measurement and reporting of results.

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Objective 2.1. All children enter school ready to learn.

Context: Research on early brain development reveals that learning experiences introduced to children at an early age are directly linked to successful learning as children mature. Furthermore, children who enter school ready to learn are more likely to achieve to high standards than children who are inadequately prepared. High-quality early childhood programs are particularly important for children from families with limited education and for children with disabilities.

Key strategies for FY 1999

- **Financial support for children who are educationally disadvantaged or have disabilities.**
  - The Department's $115 million request for the Even Start program would support projects providing early childhood education, adult education, and parenting instruction that helps prepare low-income children to enter school.
  - The $374 million request for Special Education Preschool Grants program is intended to help ensure that 3 to 5-year-old children with disabilities are ready to enter first grade on an equal footing with their peers without disabilities.
  - The Department is requesting $370 million for Special Education Infants and Families program to expand the numbers of children served, improve the scope and quality of services, and meet the rising costs of administering statewide systems of early intervention services for all children with disabilities, from birth through age 2, and their families.
  - The budget includes $35 million for new Transition to School Demonstration grants that would test promising approaches for ensuring that the educational gains disadvantaged children make in Head Start and other preschool programs are sustained once those children enter the elementary grades.

- **Research, development, and technical assistance.** Provide support based on new knowledge of brain development, early intervention, and high quality nurturing.
  - Synthesize models of effective early intervention and share with Even Start, Title I preschool, and Individuals with Disabilities Education Act (IDEA) preschool projects and with states, local districts, and community-based organizations.
  - Continue to improve the knowledge base on early intervention programs through the interagency Early Childhood Research Working Group convened by the National Institute on Early Childhood Development and Education. In addition to Department of Education members, this group includes members from the National Institutes of Health, Head Start, the Department of Agriculture, the Child Care Bureau, and the Bureau of Indian Affairs.
  - Request $7.4 million to fund the research and development activities of the National Institute on Early Childhood Development and Education, which include supporting the National Center for Early Development and Learning at the University of North Carolina at Chapel Hill.

- **Improvement of Even Start.**
  - Encourage agreements between Even Start participating parents and Even Start projects that would establish developmentally appropriate outcomes for children and provide for mutual responsibility for achievement of those outcomes.
  - Provide for pilot testing of developmentally appropriate materials that enable children to progress through preschool, enter school ready to learn, and sustain success in school by supporting the linkage between learning activities in Even Start projects and in the home.
  - Help Even Start projects to set appropriate performance goals and measure progress accordingly. Provide assistance to projects to conceptualize progress indicators for the entire Even Start age range.

- **Tutor training.** Work with the Partnership for Family Involvement, Read*Write*Now, and the America Reads Challenge initiative to provide training for tutors to work with special populations, such as children from low-income families, or children with limited English proficiency or disabilities.

Coordination with Health and Human Services

- **Indicators coordination.** Work with the Head Start Bureau to more closely align indicators of progress and quality between the Even Start program and the Head Start program.
- **New HHS initiative.** Work with HHS to coordinate ED's preschool programs with the efforts of the proposed "Early Learning Fund," which would support programs that improve early learning and the quality and safety of child care.
- **"Communities Can" initiative.** Support HHS' "Communities Can" initiative to promote school-linked services for young children and their families.
- **Indicators coordination.** Work with HHS to incorporate the Federal Interagency Forum on Child and Family Statistics' indicators of child well-being into all programs; including Even Start.
- **Information exchange, research coordination.** Use the interagency Early Childhood Research Working Group convened by the National Institute on Early Childhood Development and Education to exchange and share current research-based information about young children and their families and to provide opportunities for interagency research collaboration. Use the findings from this exchange, such as the information provided by the National Institute of Child Health and Human Development on language and literacy development, to improve programs across federal departments.

Programs supporting this objective

Grants for services

- Head Start
- Title I Preschool
- IDEA Grants for Infants and Families (Part C)
- IDEA Preschool Grants (Part B)
- IDEA state grants (Part B)
- Even Start
- Inexpensive Book Distribution (Reading is Fundamental)
- Ready to Learn Television
- Goals 2000 Parental Assistance

Research

- National Research Institute for Early Childhood Education
- IDEA: Research and Innovation
- Statistics and Assessment

Technical assistance and dissemination

- Comprehensive Regional Assistance Centers
- IDEA Parent Information Centers
- IDEA: Technical Assistance and Dissemination

Selected performance indicators and charts

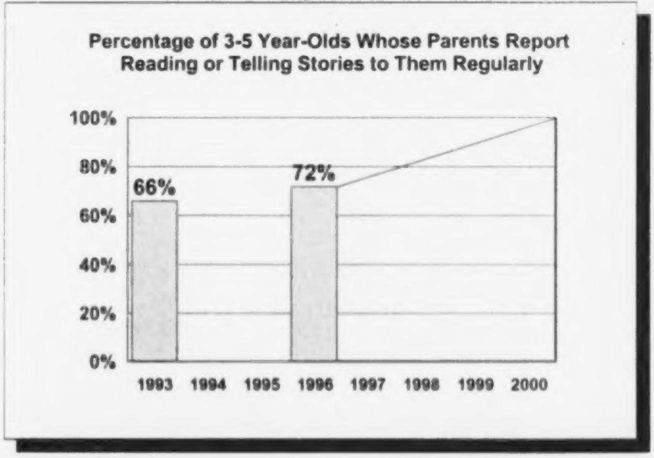
Performance indicators in the Strategic Plan for objective 2.1 focus on indicators that track the access to learning activities for children prior to kindergarten.

The percentage of 3-to-5-year-olds whose parents read to them or tell them stories regularly will continuously increase. (Goal 2, indicator 3)

Indicator background and context. Reading to children helps them build their vocabularies, an important factor in school success. Thus, frequent reading by parents to their children is an important activity in preparing children for school. Only two-thirds of preschoolers were read to or told stories regularly in 1993. By 1996, the proportion of preschoolers whose parents read to them or told them stories regularly had increased to 72 percent.

Data source. National Center for Education Statistics, National Household Education Survey, 1993, 1996.

Figure 19

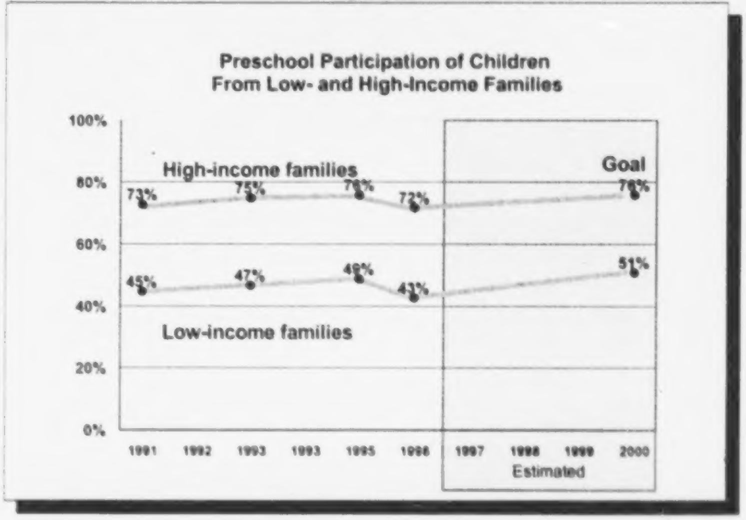

Percentage of 3-5 Year-Olds Whose Parents Report Reading or Telling Stories to Them Regularly

The disparity in preschool participation rates between children from high-income families and children from low-income families will become increasingly smaller. (Goal 2, indicator 2)

Indicator background and context. In 1991, 45 percent of 3-to-5-year-olds from low-income families were enrolled in preschool programs, compared to 73 percent of those from high-income families. Despite the importance of improving preschool participation rates for at-risk children, the disparity in preschool participation rates had not improved by 1996.

Data source. National Center for Education Statistics, National Household Education Survey, 1991 - 1996.

Figure 20



Verification/validation of performance measures: Data from independent evaluations of Even Start and other federal programs, as well as statistical surveys of the early childhood education and households conducted by the National Center of Education Statistics (NCES "Early Childhood Longitudinal Study"). The Planning and Evaluation Service monitors the Even Start program through the Even Start Program Information Reporting System information system.

Objective 2.2. Every child reads well and independently by the end of the third grade.

Context: Reading is the foundation of all other skills essential for learning, yet the National Assessment of Educational Progress reports that only 60 percent of 4th graders read at the basic level or higher. This is alarming because research shows that students who fail to read well by 4th grade are at greater risk of educational failure. Mastering basic skills like reading is the essential first step to reaching challenging academic standards in all subjects.

Key strategies for FY 1999

- **Community-wide extended learning time programs in reading.** Develop America Reads Challenge sites in each state that coordinate large extended learning, community-wide tutor/reading efforts linking families, schools (Title I, special education, and regular education programs) and other community partners. Provide $260 million in 1999 for the America Reads Challenge (ARC) to support extended learning reading opportunities; expand the 21st Century Community Learning Centers program to $200 million to support 4,000 before- and after-school programs that include reading; provide $900 million for Federal Work-Study to 100,000 Work-Study students for ARC sites and other community extended learning, literacy efforts.

- **Services for special populations.** Encourage coordination among regular education, Title I, special education, and bilingual education reading programs for children to strengthen services to special populations. Place ARC sites in Empowerment Zones/Enterprise Communities to encourage support to high poverty Title I and Even Start students; provide $200 million to Education Opportunity Zones to effect reforms and raise standards in high poverty communities. Provide $7.8 billion in Title I Grants to Local Educational Agencies to support state and local efforts to help approximately 10.5 million disadvantaged students; provide $3.8 billion for Special Education Grants to States to help states and school districts improve the quality of education provided to students with disabilities; provide $168 million to Bilingual Education Instructional Services to help increase the proportion of limited English proficient children that meet or exceed the basic level in reading.

- **Improvement in K-3 reading instruction.** Improve the instructional practice of K-3 reading teachers through the America Reads Challenge. Disseminate findings on quality reading instruction and interventions from the National Academy of Sciences study. Provide $1.1 billion to the Class Size Reduction Initiative to help ensure that every child receives individualized reading attention.

- **Coordinated leadership and tools for systemic reform in reading**. Develop a coordinated strategy among ED programs (Title I, special education, bilingual, and family literacy) for improved implementation of reading programs at the State and local level. Encourage community-level coordinated systemic reform in reading by developing "A Compact for Learning in Reading." Support the development and implementation of a National Voluntary Test in reading.

- **Early childhood literacy activities in childcare settings and preschools**. Partner America Reads pilot sites with Even Start and Head Start family literacy programs. Disseminate quality early literacy materials to family/home childcare settings and preschools. Provide $115 million to Even Start to support family literacy projects for children from birth through age 7.

- **Research, evaluation, and dissemination.** Develop a coordinated research agenda that builds on current and past research and evaluation findings in reading. Disseminate the National Academy of Science reading findings; collaborate with National Institute of Child Health and Human Development (NICHD) to launch 5-year study on acquisition of English and the teaching and learning of reading.

- **Coordination and collaboration.** More effectively coordinate and promote reading strategies, programs, and research within and outside the Department. Develop interagency collaborations and leverage key reading professional organizations like International Reading Association, National Council for Teachers of English, and American Library Association.

Coordination

- **Corporation for National Services (CNS).** Coordinate 65 ARC Pilot Sites with CNS grantee sites using CNS volunteer tutors; information and assistance to Challenge sites from State Commissioners and State Education Agency assistance to CNS sites; cross-use of CNS and Department publications for the Challenge as well as collaboratively develop materials; cross-use of CNS and Department websites; and cross-use of College Work Study students to support CNS and Department ARC sites.

- **Health and Human Services (HHS).** Coordinate reading publications development and dissemination; outreach to early childhood caregivers (Head Start and Resource and Referral Network); and community collaboration of HHS and Department funded activities for reading and early childhood.

- **National Academy of Sciences (NAS).** Coordinate support of NAS Study on At-Risk Reading and dissemination and outreach of NAS research findings.

- **National Institute of Health (NICHD).** Collaborate with NICHD on a five year study on acquisition of English and the teaching and learning of reading. ED grants will be awarded that model NICHD research for the learning disabled population.

- **U.S. Department of Justice.** Collaborate with Justice's Weed and Seed Program to train program directors in using Weed and Seed sites as Challenge extended learning settings; and to provide materials for reading to Weed and Seed sites.

- **U.S. Army.** Collaborate with the Army to train staff directors to use ARC: READ*WRITE*NOW! interventions and material in Army extended learning programs.

- **Bureau of Indian Affairs.** Coordinate with the Bureau of Indian Affairs schools to encourage extended learning in reading programs that support the Challenge.

Programs supporting this objective

Grants supporting reading services
- Title I
- Even Start
- Bilingual Education
- IDEA, Part B
- Education for Homeless Children and Youth
- Inexpensive Book Distribution

Tutoring and after-school programs
- Federal Work-Study
- 21st Century Community Learning Centers
- Fund for the Improvement of Education

Standards for reading instruction
- Goals 2000 Educate America Act

Initiatives supporting reading
- Class Size Reduction Initiative
- HHS' Childcare Initiative

Teacher training
- Eisenhower Professional Development
- Higher Education Act (HEA), Title IV-Part C (proposed legislation); Title V (preservice)
- IDEA: Personnel Preparation

Technical assistance
- Comprehensive Regional Assistance Centers

Research
- Regional Education Labs
- National Research Institute on At Risk Children
- Statistics and Assessment
- IDEA: Research and Innovation

Selected performance indicators and charts

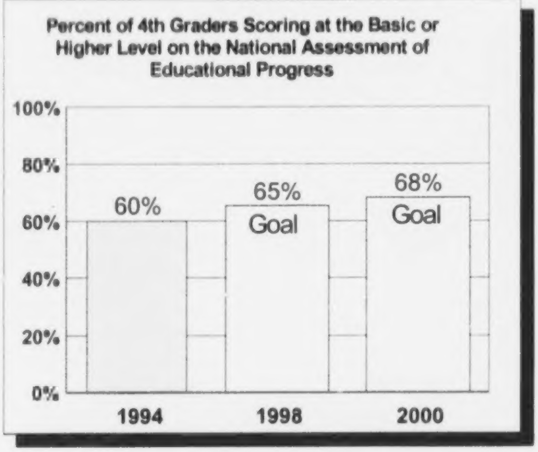
Performance indicators in the Strategic Plan for objective 2.2 focus on expected outcomes in student achievement in reading, as well as indicators that track the implementation of recent programs to advance these outcomes.

Increasing percentages of fourth-graders will meet basic, proficient, and advanced levels in reading on the National Assessment of Educational Progress (NAEP). (Goal 2, indicator 4)

Indicator background and context. Over the last 30 years, NAEP scores for fourth graders have been relatively stable (60% at basic or higher levels).

Data source. NAEP (1994-present)

Figure 21

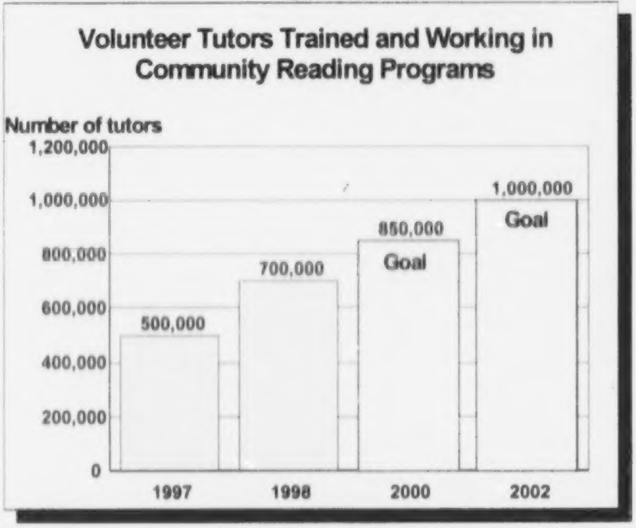


By 2002, one million volunteer tutors are trained and working in community reading programs.

Indicator background and context. In 1997, about 500,000 volunteer tutors were trained and working in community ARC reading programs.

Data source. U. S. Department of Education, Office of America Reads Challenge: READ*WRITE*NOW!.

Figure 23



Verification/validation of performance measures: Student reading outcomes use the rigorously designed National Assessment of Education Progress. Information on the training of reading teachers will be from an independently conducted evaluation of Title I schools. Tutor numbers and quality will be obtained from independent evaluations of college student participation in Federal Work Study and of tutors in the America Reads Challenge.

Objective 2.3. Every eighth-grader masters challenging mathematics, including the foundations of algebra and geometry.

Context: Mathematics is a basic skill—the gateway to learning many more advanced skills, and a prerequisite for success in a wide variety of careers. Results from the Third International Mathematics and Science Study (TIMSS), which compared mathematics and science achievement of students from the U.S. and other countries, show that the U.S. is the only country that scored above the international average at the fourth grade and below the international average at the eighth grade. Mathematics, like reading, has a key academic turning point; for mathematics this occurs around the eighth grade. Ninth-graders are often put on different tracks that they follow through high school and beyond; mathematics often determines what that track will be.

Key strategies for FY 1999

- **ED-NSF action strategy.** Support the ED-NSF Action Strategy to improve mathematics instruction and achievement through the $33.7 million request in new funding for Eisenhower Professional Development Federal Activities (which is coupled with an NSF request for $28 million), including $22 million to develop professional development leaders, support teacher networks, support capacity-building grants to assist school districts in planning coherent use of federal and other funds to improve mathematics education, and create technology-based materials that emphasize teaching for conceptual understanding of mathematics while at the same time ensuring mastery of the basics.

- **Research-based information and public engagement in mathematics education improvement**. Provide high-quality instructional materials over the Internet. The request for Eisenhower Professional Development Federal Activities also includes a $10 million request to significantly expand technical assistance in mathematics and science education, and $1.7 million to expand the dissemination of professional development and mathematics materials through the Eisenhower Consortia and National Clearinghouse. Support the development of a National Voluntary Test in mathematics and encourage support among urban school districts. Launch ED-NSF national information and engagement campaign based on using challenging mathematics items and student work to inform the public and provide opportunities for parents and volunteers to support improved student achievement. Develop and widely disseminate clear, research-based information on the importance of challenging middle school mathematics.

- **Research and evaluation.** Support research from many disciplines on such areas as (1) the implications of recent brain research on cognitive development and early learning, (2) classroom-based strategies for improving student achievement in mathematics and reading, and (3) the contributions that technology can make to teaching and learning reading and mathematics through the $50 million request for an interagency research initiative involving the Department and the National Science Foundation (which will contribute an additional $25 million). Conduct additional Third International Mathematics and Science Study (TIMSS) studies, evaluate the Eisenhower State Professional Development program, school implementation of standards-based reform and the Title I program, and develop a continuous feedback system for monitoring the effectiveness of Department strategies.

- **Challenging state standards and services to special populations, such as students who are low-income and disadvantaged.** Support state and local efforts to help low-income and low-achieving students meet challenging state and performance standards in mathematics that states are required to have in place by the 1997-98 school year through the $7.8 billion request for Title I Grants to Local Educational Agencies. The Department is requesting $476 million for Goals 2000 State Grants, which will support the development of assessments aligned with the content and performance standards in mathematics that states are expected to put in place by 1998. The budget includes a $200 million Education Opportunity Zones investment in FY 1999 and $1.5 billion over 5 years would strengthen schools and help students master basic and advanced skills where the need is greatest—in urban and rural communities with concentrated poverty and low expectations for student performance.

- **Teacher recruitment, preparation, and support.** Emphasize the importance of providing sustained, intensive, high-quality professional development for mathematics teachers in grades 5-8, as called for in the ED-NSF Action Strategy for improving achievement in mathematics. The $335 million request for Eisenhower Professional Development State Grants helps states train teachers to prepare their students to meet high standards in all core subjects, but the program reserves $250 million for professional development in mathematics and the sciences. The Department's proposal for the reauthorization of Title V of the Higher Education Act includes $30 million for a Lighthouse Partnerships program that would identify a variety of institutions that prepare teachers well, and promote the expansion of their best practices to other institutions. In selecting Lighthouse Partnerships, priority would be given to institutions committed to preparing teachers of mathematics and of reading. Promote improved preparation of teachers of mathematics. Support development by mathematics professional organizations of exemplary standards for mathematical preparation of K - 12 teachers. Identify existing exemplary teacher preparation programs in mathematics and gain college commitments to support high quality teacher preparation.

- **High Hopes College-school partnerships**. Ensure that children have access to the rigorous core courses, especially algebra and geometry, that prepare them for college. The President's FY 1999 budget includes $140 million to promote partnerships between colleges and middle or junior high schools in low-income communities to get and keep students on the track to college.

- **Extended learning time for mathematics.** Promote learning and enrichment in such areas as computer skills, math and reading, as well as the arts, drama, music and community service through expansion of the 21st Century Community Learning Center Program.

Coordination

- **ED-NSF interagency strategy.** Coordinate with Departments of Commerce, Interior, Transportation, Defense, Energy, the Environmental Protection Agency, National Institutes of Health, and the National Aeronautical Space Administration (NASA), in partnership with NSF, to implement an interagency action strategy for improving achievement in mathematics and science. This strategy will lay out a coordinated set of activities for NSF and ED, as well as other agencies, and is guiding budgetary and programmatic priorities. Some of these activities are listed below.

- **National Science Foundation.** Jointly award capacity-building grants with NSF to strengthen the coordination of federal programs in supporting challenging mathematics.

Programs supporting this objective

State Grants
- Title I
- IDEA Part B

Standards for mathematics instruction
- Goals 2000: Educate America Act

Technical assistance and dissemination
- Fund for the Improvement of Education
- Eisenhower Federal Activities
- Eisenhower Regional Consortia
- Comprehensive Regional Assistance Centers

Teacher training
- Eisenhower Professional Development State Grants
- Higher Education Act (HEA), Title V

Research
- National Education Research Institutes
- Regional Education Laboratories
- Eisenhower Professional Development Federal Activities
- IDEA: Research and Dissemination
- Statistics and Assessment

Selected performance indicators and charts

Performance indicators for objective 2.3 focus on expected outcomes for students in mathematics and on progress in implementing key strategies to achieve these results. The Department is monitoring progress on this objective in terms of the national trends in teacher preparation and ongoing professional development, student course taking, and schools' access to and use of information on best practices for mathematics instruction. The Department is also focusing on increasing public understanding and support for mastering challenging mathematics by the end of the eighth grade.

Increasing percentages of eighth-graders reach the basic level or higher levels of proficiency in math on the National Assessment of Educational Progress (NAEP); on international assessments, at least 60% will score at the international average by 2002. (Goal 2, indicator 8)

Indicator background and context. U.S. students have shown progress in their mathematics achievement on NAEP over the years, yet many still fail to achieve to the high standards needed for future success. In 1996, 61 percent of students scored at or above the basic level on NAEP compared to 51 percent in 1990. In 1996, 45 percent of U.S. eighth-graders scored at the international average on the Third International Mathematics and Science Study (TIMSS). TIMSS showed that although U.S. fourth-graders perform above the international average in math, our eighth-graders, and twelfth graders scored below the international average. **Data source**. National Assessment of Educational Progress (NAEP), 1990, 1992, 1996 Mathematics Assessment. The Third International Mathematics and Science Study (TIMSS), 1995 8th-grade Assessment.

Figure 23

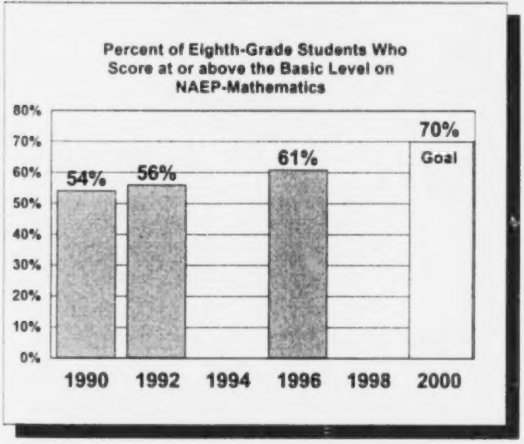
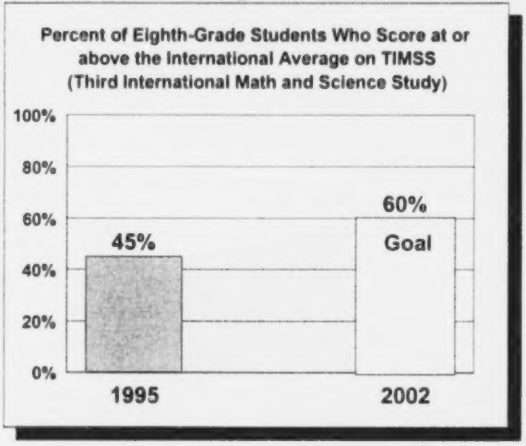


Figure 24

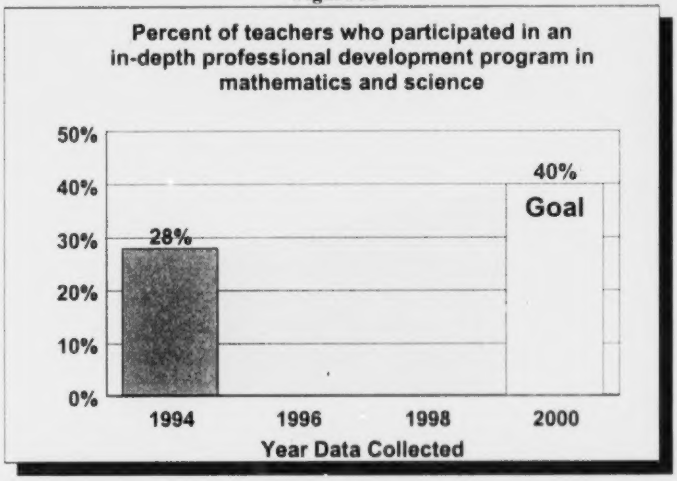


Each year, more teachers in grades 5-8 will complete intensive professional development to enable them to teach challenging mathematics. (Goal 2, indicator 11)

Indicator background and context. Only 28 percent of U.S. teachers participated in an in-depth professional development program in mathematics.

Data source. Schools and Staffing Surveys, 1993-94.

Figure 25



Percent of teachers who participated in an in-depth professional development program in mathematics and science

Verification/validation of performance measures: Indicator data will draw from rigorously designed surveys (e.g., the National Assessment of Educational Progress, replication of the Third International Mathematics and Science Study at the eighth grade, and ongoing administration of the Schools and Staffing Surveys. Independently conducted program evaluations at school and district levels will assess staff access to, knowledge of, and use of best practices information.

Objective 2.4. Special populations receive appropriate services and assessments consistent with high standards.

Context: Students with special needs should benefit from the same high quality schooling as all students, plus extra supports to help them succeed. These children—who are a focus of key elementary and secondary education programs—may include students in high-poverty schools, students with limited-English proficiency or disabilities, migrant students, and homeless students. Federal support is critical to ensuring that these students are not left behind in the drive for higher standards.

- **Main financial support.**
  - The $7.8 billion request for Title I Grants to Local Educational Agencies is intended to help states and school districts ensure that low-income, disadvantaged students are able to meet the same high standards expected of all children. The program gives states and schools substantial flexibility —including waivers from federal rules that impede improved achievement and school wide reforms for schools with a majority of poor students—in exchange for helping disadvantaged students meet high state standards. This will be supplemented with a $50 million increase for Title I Migrant Education.
  - The $3.8 billion request for IDEA Grants to States is intended to improve the quality of education for children with disabilities so that these children can, to the maximum extent possible, meet the same challenging standards that have been established for all children, while also preparing them for employment and independent living.
  - The Department is also seeking $168 million for Bilingual Education Instructional Services, which supports projects designed to develop the English language skills of participating students and to help them meet the same challenging standards expected of all students.

- **Ensuring appropriate assessments for all children.** Disseminate guidance and provide technical support regarding accommodations for assessing children with limited English proficiency and children with disabilities to states, local school districts, technical assistance providers, and teacher education institutions. Draw upon the resources and expertise of a panel convened by the National Academy of Sciences, as well as identify and disseminate promising practices at the state and local levels.

- **Monitoring student progress.** Encourage the adoption of national assessments in fourth grade reading and eighth grade mathematics to enable states, districts, schools, and parents to benchmark their students' performance against a common measure of achievement aligned with challenging standards.

- **Attention to equity.** Implement guidance on testing and assessments that may involve high stakes assessments of special populations. The guidance was developed in 1998 by the Office of Civil Rights (OCR).

- **Highly qualified teachers.** Promote the training and recruitment of teachers to serve children with special needs (e.g., limited English proficiency and special education) and for high-poverty areas. The President is seeking $1.1 billion in funding over the next 7 years to support states in hiring 100,000 new teachers as part of a Class Size Reduction Initiative. The goal of the initiative is to help reduce class sizes nationwide in grades 1-3 to an average of 18 students per class. Funds would be distributed to states on the basis of the Title I formula, and the funding match would be lower for high-poverty districts. In addition, the budget includes $67 million for a new Teacher Recruitment and Preparation program that would recruit new teachers for the high-poverty urban and rural areas that have the most difficulty in attracting and retaining a high-quality teaching force.

- **Research, dissemination and implementation of effective practices.** Expand the scope of ED-supported research and dissemination, and the implementation of strategies to support the education of students with special needs and in high-poverty districts.
  - The $175 million request for Demonstrations of Comprehensive School Reform would support awards helping some 3,500 urban and rural schools to carry out comprehensive, research-based educational reforms.
  - The $200 million Education Opportunity Zones initiative would assist urban and rural school districts—with high concentrations of children from low-income families—to implement educational reform strategies linked to challenging standards for all students, accountability for results, expanded public school choice, and interventions in failing schools.
  - The budget also includes $15.5 million for the National Institute on the Education of At-Risk Students, which helps develop and disseminate instructional methods for improving the achievement of students at risk of educational failure. The Institute supports the Center for Improving Achievement for At-Risk Students, which conducts research and development into "whole school" reforms that help all students in a school become high achievers, as well as the Center for Research on Education, Diversity and Excellence, which works to improve educational results for students from diverse cultural and linguistic backgrounds.
  - The $291 million requested for Special Education National Activities, will continue to support a wide range of services supporting state and local efforts to educate children with disabilities. These funds facilitate state improvement efforts, research and innovation to help children with disabilities meet high standards, technical assistance, preparation of personnel who work with children with disabilities, information centers to help parents meet the education needs of their children with disabilities, and media services (such as captioning) for individuals with disabilities.

- **School infrastructure and capacity.** The Administration is requesting federal tax credits to pay the interest on nearly $22 billion in school modernization bonds that may be used to construct or renovate public school facilities. One-half of the bond authority would be allocated to the 100 school districts with the largest number of low-income children. The proposal calls for the issuance of $11.1 billion in interest-free bonds in 1999 and an identical amount in 2000. The $475 million request for the Technology Literacy Challenge Fund would support grants to states that are used to buy hardware, connect schools to the Internet, train teachers to use technology, and develop and buy software. Funds are distributed to states on the basis of the Title I formula, and participating states are required to submit a statewide technology plan that includes long-term strategies for assisting the school districts with the largest numbers or percentages of poor children and the greatest need for technology in the classroom.

- **Extending opportunities for learning.** Support after-school activities that are of particular benefit to special populations, through financial support, technical assistance, information sharing, and development of a continuous improvement project management guide. A greatly expanded, $200 million 21st Century Community Learning Centers program would support approximately 4,000 before- and after-school programs—serving up to half a million students—that would keep schools open as safe havens while providing extended learning activities to improve student achievement and prevent juvenile violence and substance abuse. The Department will closely coordinate this program with supporting activities that will be funded through a five-year, $55 million private donation by the C.S. Mott Foundation aimed at enhancing the quality of before- and after-school programs.

Coordination

- **Children of families with special needs.** Expand coordination efforts with the Departments of Health and Human Services and Labor to ensure that children from families moving from welfare to work and others with special needs (e.g., migratory workers, homeless families) receive opportunities to participate fully in educational activities—both during, and before and after school—that are aimed at helping them to reach high standards.

- **President's Hispanic Education Initiative.** Build upon public and private partnerships, initiated through the President's Hispanic Education Initiative to support increased family and community involvement in education. For example, with the Partnership for Family Involvement, promote America Reads and other efforts to support a greater emphasis on reading through Spanish language television, radio and print media. The President's budget request includes increases totaling $217 million for programs that show particular promise in addressing the special needs of Hispanic Americans. These include a doubling of funding for Bilingual Professional Development to $50 million and a $50 million increase for Title I Migrant Education.

- **Support for homeless children.** Continue to collaborate—as a member of the Interagency Council on Homelessness—on a National Survey of Homeless Assistance Providers and Clients with the Departments of Agriculture, Commerce/Census, Energy, Health and Human Services/Social Security Administration, Housing and Urban Development, Justice, Labor and Transportation, and the Federal Emergency Management Administration.

- **Juvenile justice.** Coordinate with the Department of Justice in developing a Census of Residential Juvenile Facilities—a multidisciplinary project that will collect information on juveniles in detention and correctional custody, including data on education.

Programs supporting this objective

Grants to states, districts and schools for direct services
- Goals 2000 Grants to States
- Title I Grants to Local Education Agencies
- Comprehensive Reform Demonstration Program

Targeted grants to support special populations
- Even Start
- Title I Migrant Education
- Title I Neglected or Delinquent
- Education of Homeless Children and Youth
- IDEA State Grants (Part B)
- Indian Education
- Bilingual Education
- Adult Education
- TRIO Higher Education Programs
- Office for Civil Rights

Research and evaluation
- National Education Research Institutes
- IDEA: Research and Improvement
- Statistics and Assessment

Programs in other agencies
- Bureau of Indian Affairs (Interior)
- Homeless Assistance Programs (HHS)
- Migrant Assistance Programs (HHS and Labor)

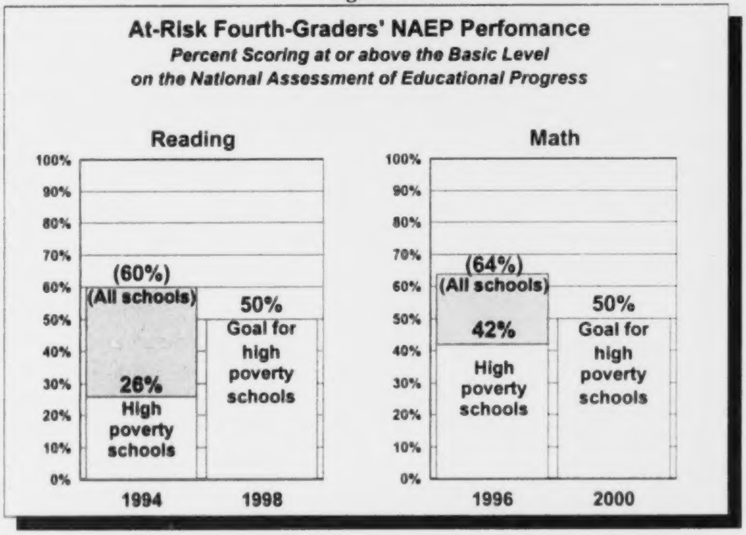
Selected performance indicators and charts

The Department is monitoring this objective by examining progress by states, districts and schools in implementing effective strategies for teaching students with special needs, and tracking the results. Outcomes are measured by examining trends in the achievement of students in high-poverty schools compared to overall national achievement.

***Students in high-poverty schools will show continuous improvement in achieving proficiency levels compared to those for the nation*.** (Goal 1, indicator 2)

Indicator background and context. Poverty has a substantial impact on student achievement, as illustrated by the performance of fourth graders on the NAEP assessment in reading and mathematics. In 1994, fourth graders in high poverty schools scored considerably below the national average, with only 26 percent able to score at or above NAEP's basic level. While scores were closer on math, poverty school students still scored much lower. The goal is to bring the scores closer to that for all schools.

Figure 26


At-Risk Fourth-Graders' NAEP Perfomance

Percent Scoring at or above the Basic Level on the National Assessment of Educational Progress

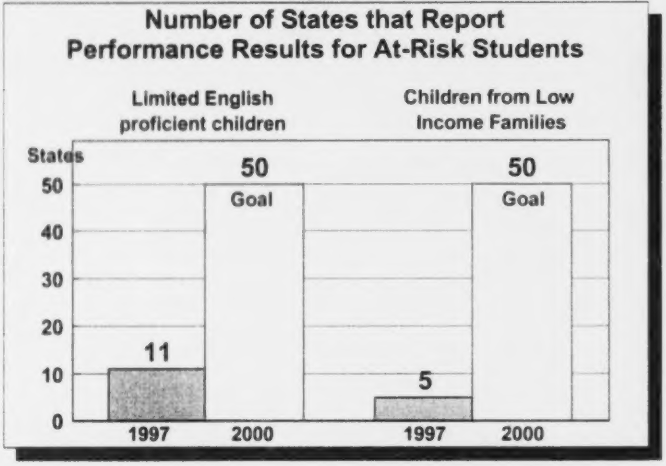
Data source. Educational Testing Service. Special analysis of NAEP, 1997-98; U.S. Department of Education. NAEP 1994 *Reading A First Look: Findings from the National Assessment of Educational Progress*, and NAEP, 1996: *Mathematics Report Card for the Nation and the States.*

***Federal technical assistance and other support to states will result in annual increases in the number of states and local districts with the capacity to disaggregate and report out assessment data aligned with standards for at-risk students*.** (Goal 1, indicator 17)

Indicator background and context. By the year 2001, Title I of ESEA requires that states establish accountability systems that track the progress of students from special populations (e.g., limited English proficient), and report progress to parents and local communities. Therefore, progress of states in reporting assessment data for at-risk students will be tracked annually.

Data source. Council of Chief State School Officers. State Education Indicators with a Focus on Title I, 1997.

Figure 27


Number of States that Report Performance Results for At-Risk Students

Verification/validation of performance measures: Independent program evaluations by the Planning and Evaluation Service will validate State-reported program information. The rigorously designed National Assessment of Education Progress will provide an independent benchmark on State-reported student outcomes for at-risk populations. The Congressionally mandated Independent Review Panel, is reviewing all surveys and results for quality.

Objective 3.1. Secondary school students get the information, skills, and support they need to prepare successfully for postsecondary education.

Context: The Department of Education supports significant levels of postsecondary student financial assistance—estimated at nearly $51 billion for fiscal year 1999. Research has shown, however, that information about the benefits of college, academic requirements, and the availability of financial aid can be as critical as ensuring financial assistance in motivating students and families to begin planning early for college education.

Key strategies for FY 1999

- **National campaign for middle-school students.**
  - A new $15 million Early Awareness Information program would develop a series of media products, including videos, a website, and publications, to inform middle and high school students and their families, as well as the general public, about student aid opportunities, the steps that need to be taken to attend college, and the availability of student aid. A major product will be a toolkit for middle schools and colleges containing reference information about postsecondary education costs, benefits, and preparation. In addition, this program would encourage adult learners to take advantage of the new tax credits for postsecondary education and go back to school to learn new skills.
  - Conduct a survey to measure current levels of student awareness of the academic requirements for college, college costs and student aid. And to inform the national middle school campaign

- **Support services to help students prepare for postsecondary education.**
  - The $583 million request for TRIO would increase support for the Upward Bound and Talent Search programs, which identify disadvantaged middle school and high school students and provide academic and career counseling, information and assistance on postsecondary admission and financial aid, and tutoring services. The 1999 budget request of $583 million for TRIO would provide services to almost 389,000 Upward Bound and Talent Search students.
  - As proposed in the FY 99 budget, the new $140 million High Hopes program would bring colleges, middle and junior high schools, businesses, and community organizations together to give whole grade levels of children in high poverty schools information on the benefits of college, academic requirements, and financial aid opportunities, as well as mentoring and tutoring needed to help keep students on track toward college.
  - The budget includes $125 million for the School-to-Work Opportunities program, which helps states implement systems connecting secondary school classrooms to the world of work and preparing students for a wide range of postsecondary education opportunities.

- **A student- and family-focused "system" to support postsecondary education using computer and information technologies.**
  - Determine the legal and technical requirements of using the electronic signature to simplify the process of electronically applying for student financial aid through the World Wide Web.
  - Coordinate with partners in the community, including schools, lenders, and guarantee agencies, to establish industry standards for data exchanges needed to operate the system.

- **Vocational education support for technical skill training.**
  - The Department's budget request for $1.137 billion for Vocational Education State Grants and Tech-Prep Education will support state and local efforts to increase students' technical skills, integrate academic and vocational education, link secondary and postsecondary education, relate classroom learning to experiences outside the classroom in the workplace, and develop models of high school reform.

Coordination

- **Public awareness campaigns.** Continue to obtain input and support from numerous public and private organizations, such as the National Middle School Association, the College Board, and Boy Scouts of America (Learning for Life), in designing and implementing the Early Awareness Information program, ED-NSF national mathematics public engagement campaign, and High Hopes program. In addition, work to ensure that the three programs are well-coordinated and mutually reinforcing.

- **Dissemination of research.** Coordinate the TRIO clearinghouse with other ERIC clearinghouses to better disseminate research on the preparation of disadvantaged youth for postsecondary education.

Programs supporting this objective

Information and support services
- Early Awareness Information
- High Hopes College-School Partnerships
- TRIO (Upward Bound and Talent Search)
- American Printing House for the Blind
- Migrant education (HEP and CAMP)
- IDEA Part B

Research
- Statistics and Assessment

Vocational Education
- Vocational Education State Grants
- Tech-Prep Education

Selected performance indicators and charts

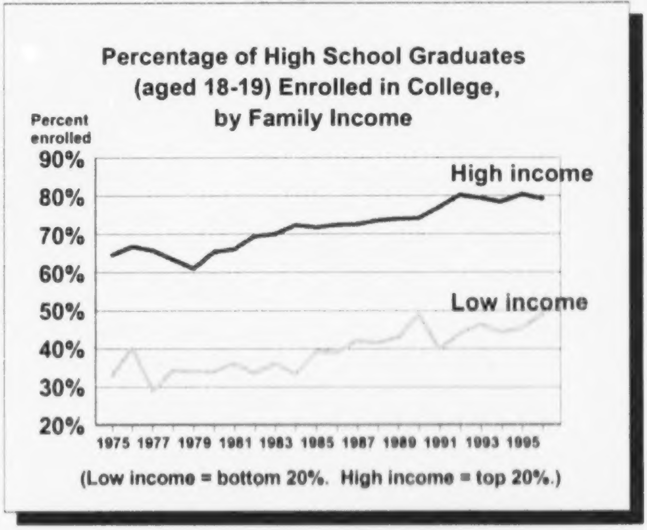
The performance indicators included in the Strategic Plan for objective 3.1 relate to expected outcomes of the early college awareness postsecondary education programs and improvements in the student financial aid application system including: increasing college enrollment rates, particularly for low income students; creating greater awareness of the costs of attending college, the availability of financial aid and the academic requirements of college enrollment; and reducing the time needed to process financial aid applications.

Postsecondary education enrollment rates will increase each year for all students while the enrollment gap between low- and high-income and minority and non-minority high school graduates will decrease each year. *(Goal 3, indicator 1)*

Indicator background and context. In 1996, 49.1 percent of low-income high school graduates, aged 18-19, were enrolled in college, compared to 79.3 percent of high-income students. (Low-income students are from families in the bottom 20 percent of all family incomes. High-income families are in the top 20 percent.)

Over the period of 1975 through 1996, the postsecondary education enrollment rates of both low- and high-income students have tended to increase. However, despite some fluctuations, the gap in enrollment rates between these groups has remained fairly stable over this period. It is expected that the Early Awareness Information program, High Hopes College-School Partnerships program, TRIO programs,

Figure 28


Percentage of High School Graduates (aged 18-19) Enrolled in College, by Family Income

(Low income = bottom 20%. High income = top 20%.)

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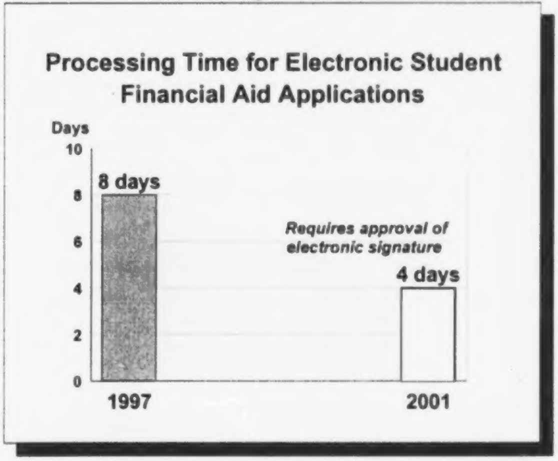
and reform efforts at the elementary and secondary school level will increase student interest in, and preparation for, postsecondary education, thereby leading to continued increases in postsecondary enrollment rates, particularly for low-income students.

Data source. U.S. Department of Commerce, Bureau of the Census, October Current Population Surveys.

By October 2001 there will be a single point of contact that allows students to get information on federal student aid, apply for aid, and have their eligibility for aid determined within four days of electronic application, cutting in half the current processing time. (Requires approval of electronic signature.) (Goal 3, indicator 4)

Indicator background and context. The current processing time for electronic applications for federal student financial aid is eight days. A streamlined mechanism for electronically applying for student financial aid through the world wide web will give prospective students and their families a single electronic point of contact for all federal student aid programs, and eventually, with the cooperation of the postsecondary education community, this system will respond to all their financial aid questions, including estimates of likely federal aid amounts and costs associated with attending specific schools. Note that a reduction in the processing time for electronic applications from eight to four days can only be achieved with approval of the electronic signature.

Figure 29



Data source. Program data.

Verification/validation of performance measures: Data on performance indicators will be obtained through independent surveys conducted by the National Center for Education Statistics and the Census Bureau which are subject to standards regarding statistical precision and response rates. An independent customer survey is also planned to provide an external check on program reported data on student awareness, usage, and satisfaction.

Objective 3.2. Postsecondary students receive the financial aid and support services they need to enroll in and complete their educational program.

Context: Progress made toward achievement of Goals 1 and 2 and Objective 3.1 will help ensure that all students are prepared for college. Objective 3.2 is intended to provide the financial and support services these students need to achieve their postsecondary educational objectives.

Key strategies for FY 1999

- **Student financial assistance.** Department student aid programs will support nearly $51 billion in grant, loan, and work-study assistance to 8.8 million postsecondary students:
  - A $7.6 billion request for Pell Grants would increase the maximum award by $100 to $3,100 and provide grants to more than 3.9 million students.
  - A $900 million request for Work-Study would increase the number of recipients by 75,000 to more than 1 million.
  - A $619 million request for Supplemental Educational Opportunity Grants would support grants of up to $4,000 for more than 1 million students who receive Pell Grants or demonstrate exceptional financial need.
  - The request for Perkins Loans in conjunction with the revolving fund would maintain current levels of low-interest loan support for 788,000 students.
  - The Federal Family Education Loans and Federal Direct Student Loan programs would support 9.1 million loans to postsecondary students totaling an estimated $33.9 billion.
  - In addition to the $51 billion in student aid awards, an estimated 5.5 million students would receive $4.2 billion in HOPE Scholarship credits in 1999, while an additional 7.1 million students would benefit from $2.5 billion in Lifetime Learning credits.
  - A $20 million request for the new Access and Retention Innovations program would provide critical data on the effects of different student aid packages on postsecondary access and retention needed to better understand and, possibly, heklp redesign the student aid programs.

- **Support services for postsecondary students.**
  - The $583 million request for TRIO would enhance the Student Support Services and McNair programs, which are designed to encourage individuals from disadvantaged backgrounds to complete college and pursue graduate studies. The request would fund services to an estimated 182,000 disadvantaged postsecondary students.
  - Implement recommendations of on-going evaluations to improve the TRIO and Title III programs.
  - Improve monitoring of higher education programs through redesigned performance reports and disseminate information regarding effective practices.

Coordination

- **Work with the Treasury Department.**
  - Consult with the IRS regarding publications for students and schools regarding steps needed for taxpayers to claim the Hope Scholarship and Lifetime Learning tax credits.
  - Consult with the Treasury Department on the setting of student loan interest rates.

- **Consult on reauthorization.** Initiate discussions with interested groups and organizations regarding the upcoming passage and then subsequent implementation of the reauthorized Higher Education Act.

Programs supporting this objective

Student grants and loans

- Pell Grants
- Campus-based programs
- Federal Family Education Loans
- Direct Student Loans

Student Fellowships

- Minority Teacher Recruitment
- International Education and Foreign Language Studies
- Byrd Honors Scholarships
- National Need Graduate Fellowship

Student Support

- TRIO (Student Support Services and McNair)

Aid to higher education institutions

- Title III, Strengthening Institutions
- Howard University

Research, innovation and improvement

- Fund for the Improvement of Postsecondary Education
- Statistics and Assessment
- Access and Retention Innovations
- IDEA: Research and Innovation

Selected performance indicators and charts

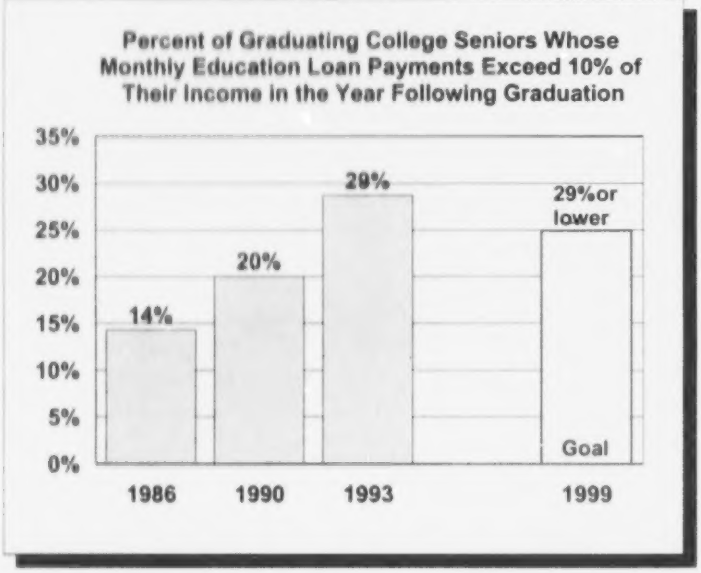
The performance indicators included in the Strategic Plan for objective 3.2 relate to expected outcomes of the postsecondary education programs including increasing graduation rates, particularly for low income students, reducing unmet need and debt burden, and ensuring that recipients of the TRIO programs benefit from the services they receive. Indicators relating to the Department's delivery of the postsecondary education programs are included under objective 3.3.

The percentage of borrowers with student loan debt repayments exceeding 10% of their income will remain stable or decline over time. (Goal 3, indicator 6)

Indicator background and context. In general it is believed that educational debt in excess of 10 percent of income will negatively affect a borrower's ability to repay his or her student loan and to obtain other credit.

Continued strong funding support for the Federal Pell Grant and other student aid programs, successful implementation of the Hope Scholarship and Lifetime Learning tax credits, greated availability of flexible repayment options, and better debt counseling for borrowers are expected to prevent any further increases in the percentage of borrowers with student loan debt repayments in excess of 10 percent of their income.

Figure 30



Data source. 1986 and 1990 data, *Survey of Recent College Graduates;* 1993 data, *Baccalaureate and Beyond Study*. In the future, the Department will obtain debt burden data for a representative sample of all borrowers, not just recent college graduates.

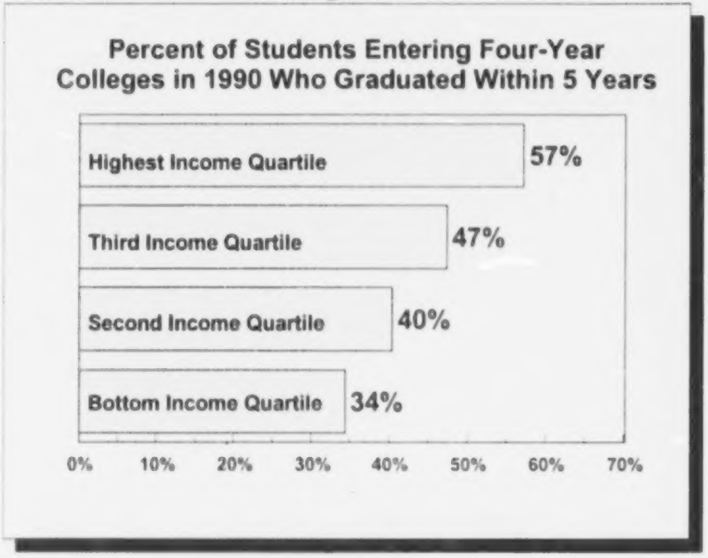
Graduation rates for all students in four-year and two-year colleges will improve, while the gap in completion rates between low- and high-income and minority and non-minority students will decrease. (Goal 3, indicator 7)

Indicator background and context. Aiding students in completing their postsecondary educations is at least as important as helping them to enroll.

Funding increases for the student aid and support service programs are expected to reduce both financial and non-financial barriers that may prevent students, particularly low income students, from completing their postsecondary educations.

Data source. Beginning Postsecondary Student Study, 1990/94; next update, 2002.

Figure 31



Verification/validation of performance measures: Performance data obtained through independent surveys conducted by the National Center for Education Statistics are subject to strict methodological standards. Data on the performance of the TRIO programs will be verified by comparing information from independent evaluations conducted by the Planning and Evaluation Service with that reported by grantees on their annual performance reports.

Objective 3.3. Postsecondary student aid delivery and program management is efficient, financially sound, and customer-responsive.

Context: The Department of Education works with 6,000 postsecondary institutions, 4,800 lenders, and 36 guaranty agencies to deliver nearly $51 billion in grant, loan, and work-study assistance to almost 9 million students who rely on federal student aid to pay for college. The Department is ultimately responsible for the collection of more than $150 billion in outstanding loans, and its data systems track 93 million student loans and 15 million Pell Grants.

Key strategies for FY 1999

The Department is requesting almost $568 million in mandatory and discretionary funds, or about 60 percent of its total administrative budget, to manage the federal postsecondary student aid programs. This amount includes, for example, $220 million to administer Direct Loans, $80 million for student aid delivery (including processing applications, determining student eligibility, and transferring data and funds between the Department and 6,000 participating postsecondary institutions), and $27 million for the National Student Loan Data System (which is used to prevent disbursements to students who have previously defaulted on their student loans). The Department also devotes about 367 full-time equivalent employees to ensuring the eligibility of postsecondary institutions participating in federal student aid programs.

The Administration's FY 1999 President's Budget identified the modernization of the student aid delivery system as one of its 22 highest priority management objectives. Following are the Department's key modernization strategies and initiatives.

- **Electronic interfaces**
  - Work with the financial aid and banking community and establish industry-wide data standards for data exchanges needed in administering student financial aid by December, 1999.
  - Reduce burden on individuals and simplify application processes by expanding data matches and exchanges.
  - Expand the number of students who apply for financial aid electronically from 1.6 million to 3 million by October 2001.
  - Continue to conduct surveys to determine student and institutional satisfaction with the student aid delivery system and to provide feedback on ways to improve the system. Specific surveys will focus on borrowers who applied for loan consolidation in order to determine the timeliness and efficiency of the process.

- **Program oversight**
  - Test and implement an institutional risk assessment model in order to concentrate compliance and enforcement activities on poorly performing institutions while reducing burden for low-risk schools.
  - Expand case management approach for high-risk schools encompassing review of recertification applications, compliance audits, financial statements, and program review findings.
  - Continue identifying high-default institutions, an emphasis which has reduced the default rate by 50 percent and resulted in the removal of 875 schools from participation in federal grant and loan programs during recent years.

- **Loan defaults**
  - Pursue legislative strategies to restructure guaranty agencies to make them more performance-based and accountable in order to save taxpayers' money, increase their efficiency, lower their operating costs, and improve their coordination with the Department.

- Continue to reduce default costs by improving the quality of data in the National Student Loan Data System (NSLDS), for which the Department is requesting $26.7 million in 1999, and through better institutional oversight.
- Analyze and test alternative default rate measures in order to more accurately reflect a variety of factors that impact default rates.
- Communicate more effectively to students the message that default is a financially costly process that often results in adverse credit ratings and subsequent inability to obtain loans and mortgages.
- Provide more information about the availability of alternative repayment plans linked to earnings.

- **Student aid delivery systems**
  - Develop an integrated, accurate and efficient student aid delivery system. The Department's Project EASI (Easy Access for Students and Institutions), a multi-year effort, will consolidate 16 different current systems using 12 different contractors into a single integrated system. This will be a student-based information tracking and data transfer system that links ED, schools, and other student aid program participants. When fully implemented, EASI will allow students to apply for assistance, to determine their eligibility for aid, and to have their awards delivered to the school of their choice almost immediately; will improve student aid data quality by allowing for more effective verification procedures; and will reduce costs by eliminating redundant systems and errors associated with duplicative record keeping. As a first step toward implementing EASI, a complete system architecture will be developed by December, 1998.
  - Emphasize improved contractor performance and contract administration to reduce processing error rates and system delays.

In addition to these specific strategies, the Department will work towards converting the Office of Student Financial Assistance Programs to a performance-based organization and aligning policy initiatives to support Student Financial Aid Programs modernization efforts.

Coordination

- **Data matches.** Continue to work with Selective Service and the Immigration and Naturalization Service to perform data matches to efficiently and effectively determine eligibility for student aid.
- **Income information.** Work with the Internal Revenue Service to obtain adjusted gross income and other tax information on borrowers regarding the repayment of their student loans including tax refund offsets for defaulted borrowers.
- **Tracking defaulters.** Work with other federal agencies, such as the Social Security Administration, U.S. Postal Service, and the Departments of Defense, Justice, and Housing and Urban Development to better track defaulted borrowers and return them to repayment.
- **Oversight.** The Student Financial Aid Modernization Board will advise the Secretary on a wide range of student financial aid management issues and make significant steps toward further improving student aid management practices.

Programs supporting this objective

See programs listed for Objective 3.2.

Selected performance indicators and charts

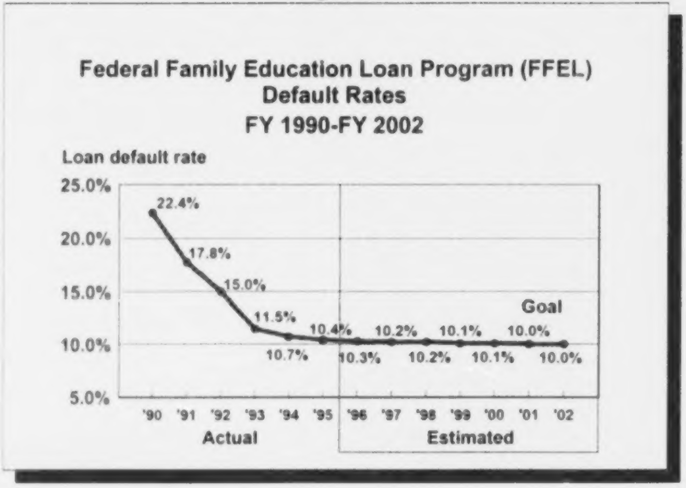
The performance indicators included in the Strategic Plan for objective 3.3 consist of a number of measures designed to assess the Department's progress in improving the delivery of student aid including default rates, customer satisfaction levels, audit results, institutional compliance rates, and contract performance.

The cohort default rates—the percentage of borrowers leaving school who default within two years—for the Federal Family Education Loan and Direct Loan programs, will decline to a level of 10% or less by 2002. (Goal 3, indicator 16)

Indicator background and context. Although default rates have been declining sharply from very high levels over the past several years, future reductions are likely to be steady but smaller because of the large number of high default schools that have already been eliminated from the program.

Progress in reducing the default rate should continue, however, as institutional oversight initiatives are implemented and as borrowers become better informed about the high cost of default and about alternative loan repayment plans.

Figure 32



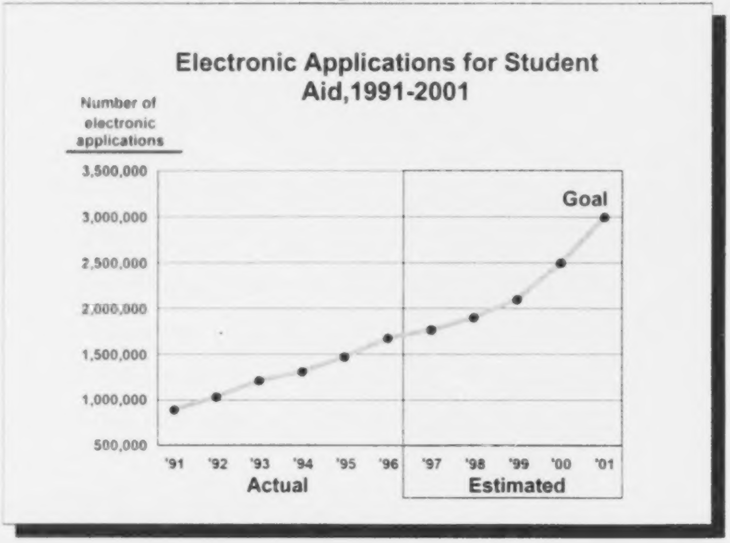
Data source. Office of Postsecondary Education data, annual.

The annual number of students and families submitting or renewing their student aid applications electronically will continue to increase each year, almost doubling to 3 million by October, 2001. (Goal 3, indicator 10)

Indicator background and context. Electronic filing of student aid applications increases the accuracy and timeliness of data received by the Department and results in quicker student aid approvals for the student. This will further the goals of the EASI project and will increase customer satisfaction.

Data source. Office of Postsecondary Education (OPE) program data, annual.

Figure 33



Verification/validation of performance measures: Independent customer satisfaction surveys are conducted by the Planning and Evaluation Service. A major expected outcome of modernizing the student aid delivery system will be improvements in data timeliness and accuracy. Data matches with the Internal Revenue Service and other agencies help ensure data accuracy as will periodic validation evaluations of the National Student Loan Data System.

Objective 3.4. All adults can strengthen their skills and improve their earning power over their lifetime through lifelong learning.

Context: As the world of work changes, many workers need to upgrade their skills and some need to be retrained for entirely new jobs. Objective 3.4 focuses on providing educational opportunities for these adults—through postsecondary education, adult basic education, or vocational rehabilitation—that will lengthen their productive years and benefit the economy by creating a more flexible and highly trained workforce.

Key strategies for FY 1999

- **Employment for individuals with disabilities.**
  - Work with other agencies to fund grants to let state and local consortia identify and work towards eliminating barriers to employment for individuals with disabilities.
  - Use the $2.3 billion request for Vocational Rehabilitation State Grants to support education and employment-related services, including vocational training and job placement.

- **New performance standards for state vocational rehabilitation agencies**.
  - Issue proposed standards to more effectively measure and require high quality outcomes from all state vocational rehabilitation programs.

- **High quality adult basic education and secondary education.**
  - Continue studies of "what works" in adult basic education and English as a second language (ESL) programs to enhance the quality of services.
  - Use the $361 million request for Adult Education State Grants to help states increase the number of adults served and improve the quality of adult education programs to enhance retention and student achievement.
  - Use the $20 million request for an initiative to develop model ESL programs involving different instructional approaches, delivery methods, teacher qualifications, and resource levels.

- **Financial support for postsecondary and employer-provided education**.
  - Offer grants of up to $3,100 to adults seeking postsecondary education and training with the $7.6 billion request for the Pell Grant program (adults comprise an estimated 10 percent of Pell Grant recipients).
  - Pilot the use of technology and other innovations in non-traditional education to improve the delivery of postsecondary education and lifelong learning opportunities for all citizens with the $30 million proposal for Learning Anytime Anywhere Partnerships.
  - Encourage adult learners to go back to school to learn new skills with the new $15 million Early Awareness Information program, through the $30.6 million request for TRIO's Educational Opportunity Centers, and through the $2.5 billion request for the Lifetime Learning tax credits that will help an additional 7.1 million students obtain postsecondary education.

- **Adult education an integral part of reformed welfare systems.**
  - Disseminate information and provide technical assistance to key state and local adult education contacts on best practices and models for integrating pre-employment and work readiness activities in basic skills programs

- **State and local program management in adult education.**
  - Create a national performance based reporting system for the adult education delivery system.

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Coordination

- **Lifetime Learning tax credit**. Coordinate with the Department of the Treasury to implement the Lifetime Learning tax credit.

- **School-to-work transition services.** The Rehabilitation Services Administration (RSA) will work with the Department of Labor and the School-to-Work office to ensure that students with disabilities receive appropriate school-to-work transition services.

- **Work disincentives.** RSA will address with the Social Security Administration (SSA) the disincentives to work that affect SSA beneficiaries.

- **Adults with disability in literacy programs.** The Office of Vocational and Adult Education (OVAE) will work with the National Institutes of Health, the National Adult Literacy and Learning Disabilities Center, and the Office of Special Education and Rehabilitative Services to develop information concerning learning accommodation strategies to facilitate the participation of adults with disabilities in literacy programs.

- **National distance learning project in family literacy**. OVAE and the Office of Elementary and Secondary Education will join forces to launch a national distance learning project in family literacy.

- **National adult literacy survey**. OVAE will partner with the National Center for Education Statistics to support the development and execution of a second National Adult Literacy Survey (NALS).

Programs supporting this objective

Adult Education

- Adult Education State Grants
- Adult Education Evaluation and Technical Assistance
- National Institute for Literacy
- Star Schools
- Community-Based Technology Centers

Vocational Rehabilitation

- Vocational Rehabilitation State Grants
- Independent Living
- Projects with Industry
- Supported Employment

Postsecondary Education

- Pell Grants
- Campus-based programs
- Federal Family Education Loans
- Direct Student Loans
- TRIO's Educational Opportunity Centers
- Learning Anytime Anywhere Partnerships

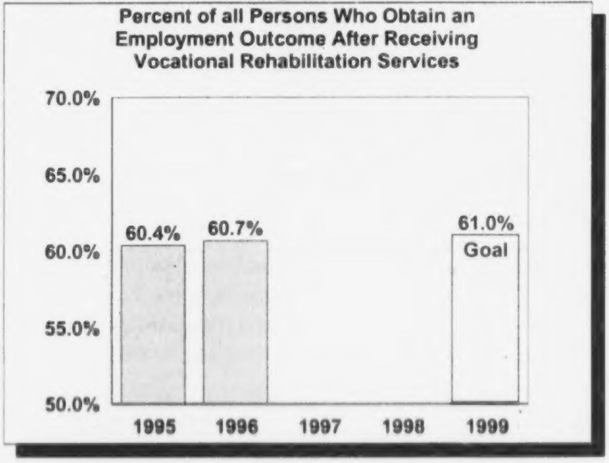
Selected performance indicators and charts

Objective 3.4 measures lifelong learning with indicators that measure the effects of federally funded programs and tax credits on encouraging adult literacy and employment. The indicators track how many people use Lifetime Learning tax credits, the percentage of individuals who receive vocational rehabilitation services and then obtain and maintain employment, the literacy skills of adult Americans, and the percentage of students in adult basic education who achieve proficiency in basic skills.

In vocational rehabilitation, the percentage of all persons who obtain employment after receiving vocational rehabilitation services will increase each year. (Goal 3, indicator 20)

Indicator background and context. Vocational Rehabilitation (VR) state grants provide services to help persons with disabilities prepare for and engage in employment to the extent of their capabilities. The program includes services such as vocational evaluation, counseling, mental and physical restoration, education, vocational training, work adjustment, job placement, and post employment services. Priority is given to serving individuals with the most severe disabilities. In recent years, the percent-age of individuals with severe disabilities as a proportion of all individuals achieving an employment outcome has risen; the cost of rehabilitating individuals with severe disabilities has been consistently higher than for individuals with non-severe disabilities. As a group, persons who achieve employment as a result of VR services show gains in their ability to function in economic terms. **Data source**. Annual RSA state data.

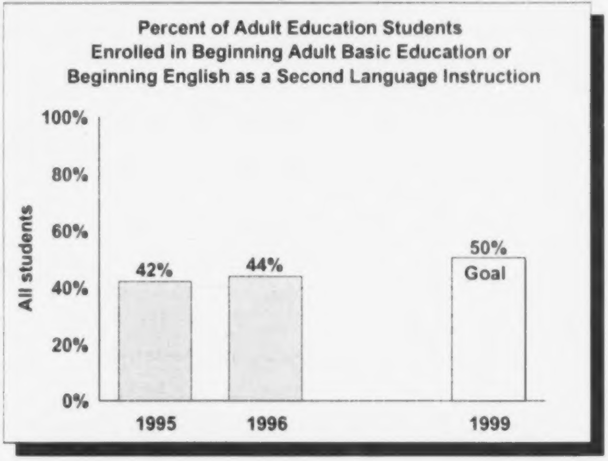
Figure 34



By fall 1999, adults at the lowest levels of literacy (those in beginning ABE and Beginning ESOL) will comprise 45-50% of the total national enrollment. (Adult Education State Grants program plan, indicator 3.1)

Indicator background and context. The Adult Education Act emphasizes serving the most educationally disadvantaged adults, those who demonstrate basic skills at or below the 5th grade level or who are enrolled in the lowest level of an adult education program. For example, in making subgrants, states are to consider the applicant's past effectiveness in and commitment to serving individuals most in need of literacy services. The indicator highlighted here underscores the importance of targeting services to an increasing percentage of educationally disadvantaged learners in the adult education system, despite any difficulties and the time needed to achieve outcomes for this population as opposed to adults with less need for basic education. **Data source.** Adult Education Management Information System.

Figure 35



Verification/validation of performance measures: Ongoing evaluations of Adult ESL and ABE providers, and of consumers receiving services from state Vocational Rehabilitation agencies, will provide independent information regarding program outcomes. Routine monitoring and on-site reviews of Vocational Rehabilitation and Adult Education programs will specifically address State procedures to verify grantee reports.

Objective 4.1. Our customers receive fast, seamless service and dissemination of high-quality information and products.

Context: To accomplish its mission of ensuring equal access to information and promoting educational excellence throughout the Nation, the Department must support the efforts of States, postsecondary institutions, school districts, schools boards, schools, community and business organizations, principals, teachers, parents, and students. All of these customers look to the Department for fast, accurate information and assistance to meet their various education needs.

Key strategies for FY 1999

- **Establish and use customer service standards to drive performance.**
  - Develop a detailed plan to ensure that the Department's employees and managers are aware of, and strive to exceed, customer service standards for core products and services.
  - Ensure that contracts reflect the Department's customer service standards, as appropriate.

- **Improve ease of access for customers.**
  - Establish a one-stop shop for publications, "One-Pubs," to disseminate ED information products, including such items as publications and grant applications, and to also operate as a customer call center. In FY 1999, $6.4 million is requested to continue implementation of this center, which will be evaluated periodically.
  - Implement the "one right referral" customer service standard for telephone inquiries through enhancement of information tools and employee training.
  - Use customer feedback and other tools and information to improve the quality and timeliness of service provided at our largest volume toll free numbers: the 1-800-USA LEARN, 1-800-4FED-AID, and the National Library of Education, 1-800-424-1616, and other significant 800 centers.
  - Improve the ease of access, quality, usefulness, and timeliness of information provided by the Department's award-winning web page. The 1999 budget request includes $150,000 for this activity for improvements which will make new information available to customers sooner.

- **Ensure access to customers with disabilities.**
  - Continue to implement Section 504 modifications, funded at nearly $600,000 in 1999, to produce ED documents (e.g., grant applications, financial aid applications, and contracts) in alternative formats (e.g., braille and audiotape); provide employee training on Section 504 requirements; provide assistive technology for both ED staff and external customers; and make other accomodations.
  - Coordinate with the Government Printing Office and other agencies to plan for products and services in alternative formats at the development stage.

- **Increase customer awareness and use of ED products and services.**
  - Establish a more proactive approach to increasing awareness by networking and building partnerships with other agencies and organizations.
  - Conduct research of best practices in information dissemination with the private and public sectors to identify potential models to adopt and customize for use at the Department.
  - Continue to publish cutting-edge research-based materials to meet customer needs as demonstrated by demand and through national recognition awards. The Department plans to spend $500,000 under the Office of Educational Research and Improvement's authority to perform these efforts.

- **Develop customer feedback systems to increase understanding of customer needs.**
  - Develop a strategic, reliable, integrated, and objective customer response plan to capture and use customer feedback on products and services.
  - Build the capacity to better disseminate the results and actions taken in response to customer feedback.

Coordination

- **Federal Publisher's Committee.** Work continues with the Federal Publisher's Committee, a cross-agency group, and the Office of Educational Research and Improvement (OERI) to discuss issues of common interest (e.g., effective marketing, uses of desktop publishing, Government Printing Office services).
- **Government Printing Office's (GPO) Depository Library System.** Continue work with this library system to ensure all documents printed by GPO are deposited, putting ED documents in the public domain for use by all taxpayers and citizens.
- **General Services Administration's Consumer Information Center (CIC).** Currently working with the CIC to develop, promote, and distribute information to the public.

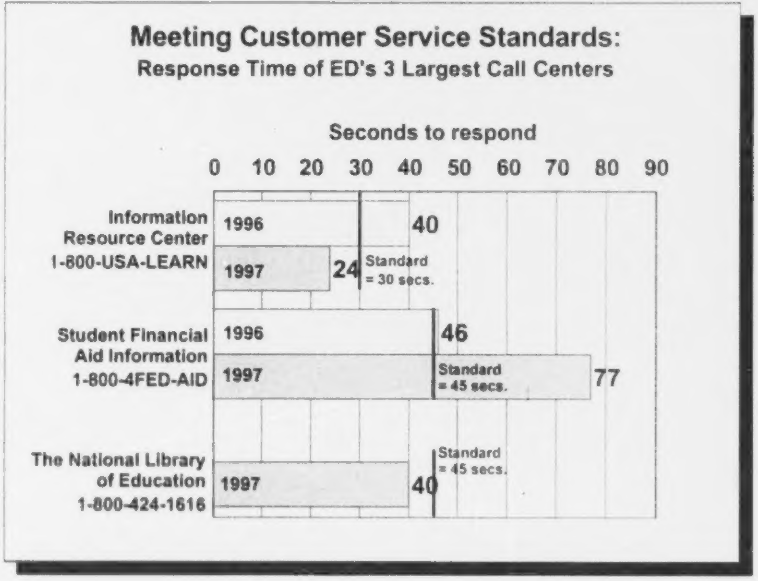
Selected performance indicators and charts

One of the most important aspects of this objective and the initiatives outlined is the need for customer service to be integrated not only into our most popular and used services, but throughout the Department. In order for the Department to incorporate concepts and best practices related to customer focus into daily operations, we are developing cross-cutting approaches for meeting this objective. The indicators in this objective seek to track performance on meeting the Department's customer service standards and in providing quality products and services to the public that are timely and accessible.

Department employees and front-line service centers will meet or exceed the Department's customer service standards by 2000. (Goal 4, indicator 2)

Indicator background and context. The 1996 employee survey showed that 63.2% of employees agreed that their organizations were meeting customer needs, a 37.4% improvement from the 1993 survey. To ED's credit, some of our highest volume toll-free numbers, like 1-800-4-FED-AID, have been a model for providing a consistent level of reliable, high-quality telephone service to ED customers each day. Plans being developed for the next year will be structured to increase customer service at all levels of the organization.

Figure 36



Meeting Customer Service Standards:
Response Time of ED's 3 Largest Call Centers

Data source. Information Resource Center (IRC), Student Financial Aid System (1-800-4-FED-AID), National Library of Education (NLE) data systems.

By 2001, at least 90% of customers, internal and external, will agree that ED products, services, and information, including those on the Department's web site, are of high quality, timely, and accessible. (Goal 4, indicator 1)

Indicator background and context. While a more strategic approach is needed for assessing customer satisfaction with all ED products and services, there are pockets of qualitative measures available. For instance, in the January 1997 ED Internet online customer survey, 87% of respondents were satisfied or very satisfied with the ED Online Library and EDInfo. The best measures currently in place are for volume. For example, the number of customers calling ED's main information line, 1-800-USA-LEARN, has increased over 55% since 1995. That center received over 277,000 calls last year. Our student financial aid number, 1-800-4FED-AID, received over 1.3 million calls last year. The number of people accessing the ED web site increased a significant 480% since 1994.

Data source. Information Resource Center data systems; National Library of Education data systems.

Figure 37

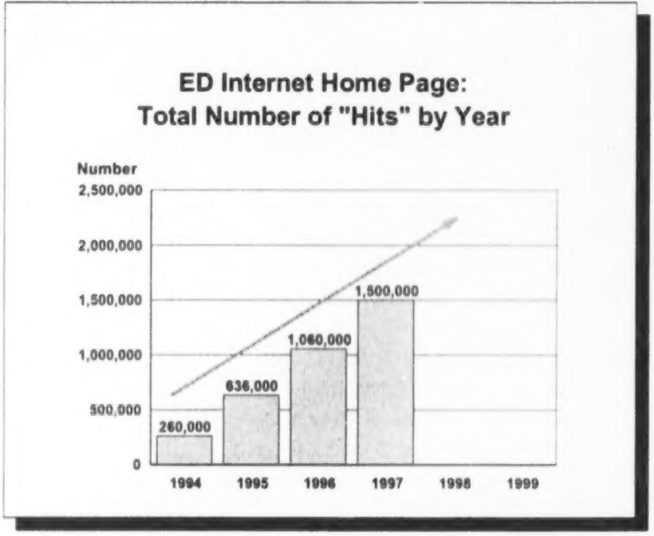
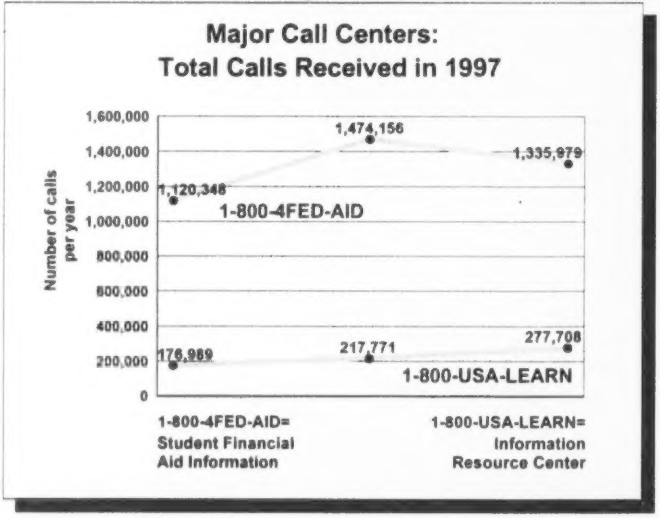


Figure 38



Verification/validation of performance measures: Many Department's call centers measure progress in meeting customer service standards, including call waiting time. The planned "one-pubs" operation will yield information about response time and comment cards will collect customer service data. Independent customer surveys conducted by the Department's Planning and Evaluation Service will validate customer information.

Objective 4.2. Our partners have the support and flexibility they need without diminishing accountability for results.

Context: When the Nation's governors, including then-governor Bill Clinton, met at the 1989 Education Summit at Charlottesville, Virginia, a top priority was to secure greater flexibility in the administration of federal education programs in exchange for greater accountability for improved student achievement. Under President Clinton, the Department has worked hard to remove statutory and regulatory impediments to innovative education reforms, while continuing to ensure protection of basic civil rights and the proper expenditure of taxpayer dollars.

Key strategies for FY 1999

- **Technical assistance system.** Create a strategic framework that identifies roles of technical assistance providers and coordination across technical assistance centers, conferences, integrated reviews, online services, and other activities.

- **Regulatory/legislative reinvention.**
  - In implementing the Individuals with Disabilities Act Amendments of 1997, promote efficient implementation, provide greater flexibility for grantees, and eliminate a substantial number of discretionary grant program regulations.
  - Simplify legislation during reauthorization while designing programs to be more results-oriented.
  - Redesign regulations covering postsecondary student aid and higher education programs following the reauthorization of the Higher Education Act.
  - Continue to eliminate and simplify other regulations.

- **Program streamlining and flexibility**.
  - Use the Department's waiver authorities to provide flexibility in cases where federal requirements may interfere with plans for improving teaching and learning.
  - Support ED-FLEX states as they implement their delegated authority to waive federal requirements.
  - Encourage consolidated planning at the state and local level.

- **Comprehensive Regional Assistance Centers.** Through the 15 Comprehensive Regional Assistance Centers, increase significantly the amount of technical assistance aimed at integrating the various Elementary and Secondary Education Act programs in support of state and local education reforms.

- **Improved audit resolution**. Expand to 25 states in FY 1999 the Cooperative Audit Resolution and Oversight Initiative (CAROI), a federal-state partnership that aims to improve education programs and student performance at the state and local levels through better use of audits, program monitoring, and technical assistance.

- **Integrated program reviews.** In collaboration with the states, continue joint technical assistance and monitoring activities for elementary and secondary education programs which target the same or greatly overlapping populations to encourage greater coordination in the planning and delivery of services. Coordinate with the Council of Chief State School Officers to develop procedures for consolidated performance reporting.

- **Civil rights partnerships.** Establish constructive and collaborative relationships with state and local education agencies, parents and community groups, and other stakeholders to achieve the shared objectives of civil rights compliance and securing timely improvements for students.

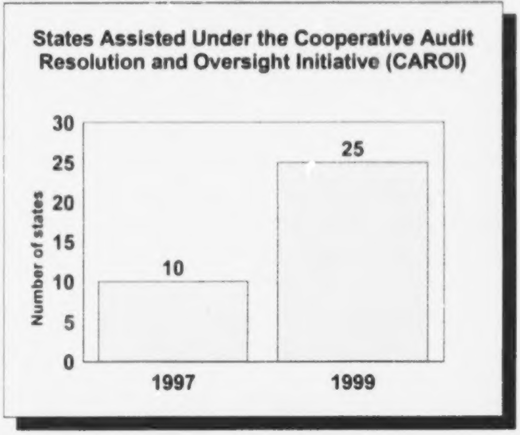
Selected performance indicators and charts

The number of states participating in the Cooperative Audit Resolution and Oversight Initiative (CAROI) will increase from 10 to 25. (Goal 4, indicator 9)

Indicator background and context. The CAROI process links program, finance, auditing, and legal staffs at the federal and state levels to foster better use of auditing, monitoring, and technical assistance.

Data source. U.S. Department of Education administrative records.

Figure 39

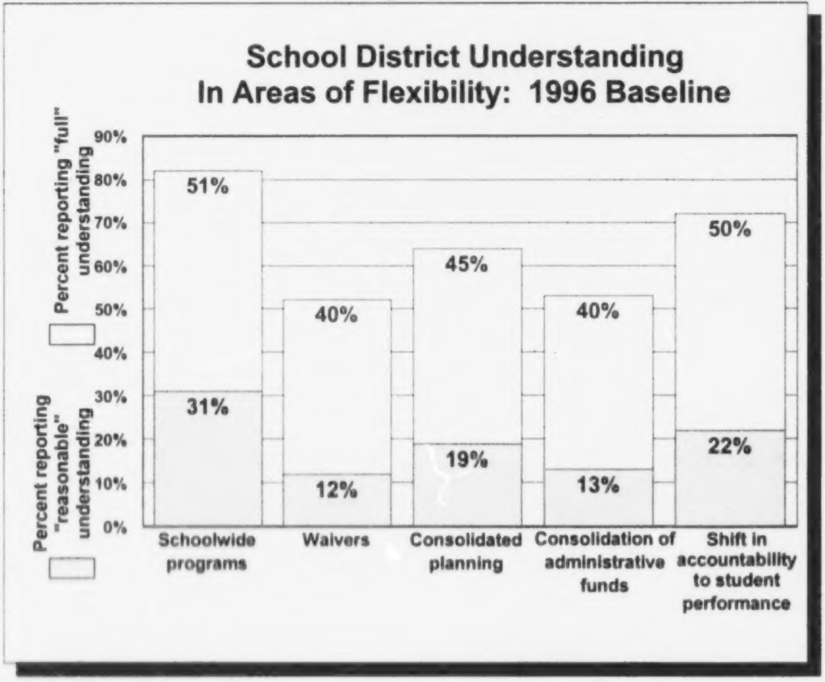


Customers will increasingly report that they have greater flexibility and better understanding of rules and requirements of education programs. (Goal 4, indicator 6)

Indicator background and context. In order to use the flexibility now available in federal education programs, educators must first understand this flexibility and the options it provides.

Data source. "Reports on Reform from the Field: District and State Survey Results, Final Report." The Urban Institute, 1997.

Figure 40



Verification/validation of performance measures: Program monitoring activities will explicitly address coordination and flexibility issues and will be independently verified by program evaluations at State, district, school and institutional levels conducted through the Planning and Evaluation Service.

Objective 4.3. An up-to-date knowledge base is available from education research to support education reform and equity.

Context: To help all children reach high academic standards and prepare for postsecondary education, productive careers, and lifelong learning, the education community needs up-to-date and effective research-based information on well-tested models, products, and strategies for improving educational achievement at all levels.

Key strategies for FY 1999

- **Financial support for R&D.**
  - Use the $53.7 million requested for the Department's five National Education Research Institutes to carry out research and development aimed at expanding knowledge and understanding of education and the improvement of education policy and practice.
  - Support a new Interagency Research Initiative with a $50 million request, in partnership with the National Science Foundation, that will be designed to improve dramatically the acquisition of reading and mathematics skills at the K-9 levels. Possible topics include preschool cognitive and language development, sustaining early math and reading skills through the elementary school years, and facilitating the transition from mastery of basic skills to critical, abstract thinking.
  - Ensure that Department-supported research and development activities meet professional standards by widely promulgating standards and operationalizing them in grant-making, monitoring, and through the peer review process.

- **Dissemination and use.**
  - Improve the availability of education data and research findings through better identification of promising practices and greater use of electronic means to disseminate those practices.
  - Establish expert peer panels to designate exemplary or promising educational programs, including educational policies, research findings, practices and products, in such areas as math and science, safe and drug-free schools, educational technology and reading.
  - Promote widespread access to sound, well-tested educational knowledge and best practices, and disseminate effective educational policies, programs, practices, and research findings in ways that support state and local school improvement efforts. Prepare and widely distribute a guide to comprehensive school reform models to enable districts and schools to match research-based strategies to their own needs and circumstances.

- **Statistics.** Increase the use of Department-wide data and statistics on critical education issues for policy development and program improvement by coordinating data collections across general purpose statistical collections, federal program evaluations, and program performance reporting.

Coordination

- **National Science Foundation, National Institute on Child and Human Development.** Develop collaborative priorities for education research in areas of national need.

- **Health and Human Services, Defense, Justice, Department of Labor, National Science Foundation.** Support the Early Childhood Research Working Group in coordinating research priorities and databases.

- **Health and Human Services, Agriculture**. Implement an early childhood longitudinal study.

Programs supporting this objective

Programs	Research	Development	Pilot testing/ Demonstrations	Dissemination	Technical assistance	Training
Cross-cutting						
National Education Research Institutes	X	X		X		
Interagency Education Research Initiative	X	X				
Regional Educational Laboratories	X	X	X	X	X	X
Statistics and Assessment	X			X		
Fund for the Improvement of Education		X	X	X	X	
Program- or topic-specific: all or mostly K-12						
Technology Innovation Challenge Grants		X		X	X	
Title I Evaluation	X					
Safe and Drug-Free Schools National Programs		X	X	X	X	
Bilingual Education Support Services	X			X	X	
IDEA Research and Innovation	X	X	X	X		
Vocational Education National Programs	X	X	X	X	X	
Eisenhower Professional Development Federal Activities		X	X	X	X	X
Javits Gifted & Talented Education	X		X	X		X
Program- or topic-specific: postsecondary education and lifelong learning						
Fund for the Improvement of Postsecondary Education		X	X	X		
Adult Education Evaluation and Technical Assistance	X		X	X	X	
National Institute for Literacy		X		X	X	
NIDRR (National Institute on Disability and Rehabilitation Research)	X	X	X	X	X	X
Research dissemination						
National Dissemination Activities				X		

Selected performance indicators and charts

Performance indicators in the Strategic Plan for Objective 4.3 focus on the extent to which Department-supported research, statistics, evaluations, and technical assistance contribute to greater understanding and utilization of good practice and policies. The extent to which states and local school districts perceive that information developed by the Department is useful in their efforts to implement standards-based reform is a key measure of customer satisfaction and potential for affecting improvement efforts.

By 1999, increasing numbers of educators, researchers, policy makers, and parents will report that the Department's research, development and dissemination, and technical assistance activities contribute to educational improvement efforts.

Data source for both figures. "Reports on Reform from the Field: District and State Survey Results." The Urban Institute, Washington, D.C., 1997.

Figure 41

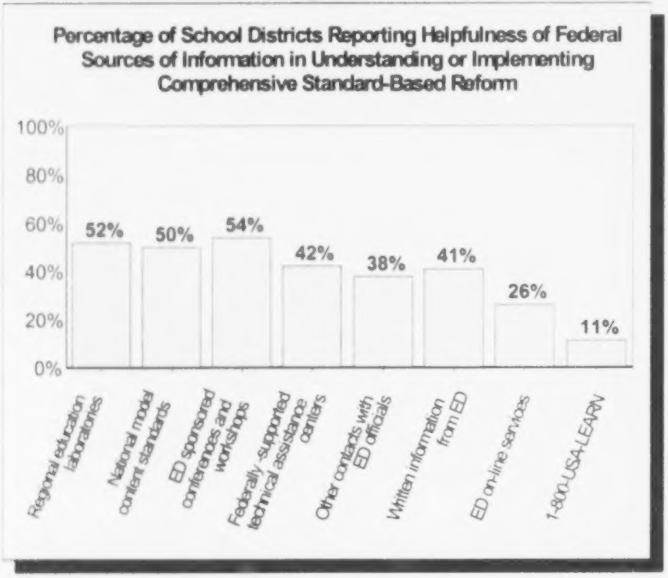
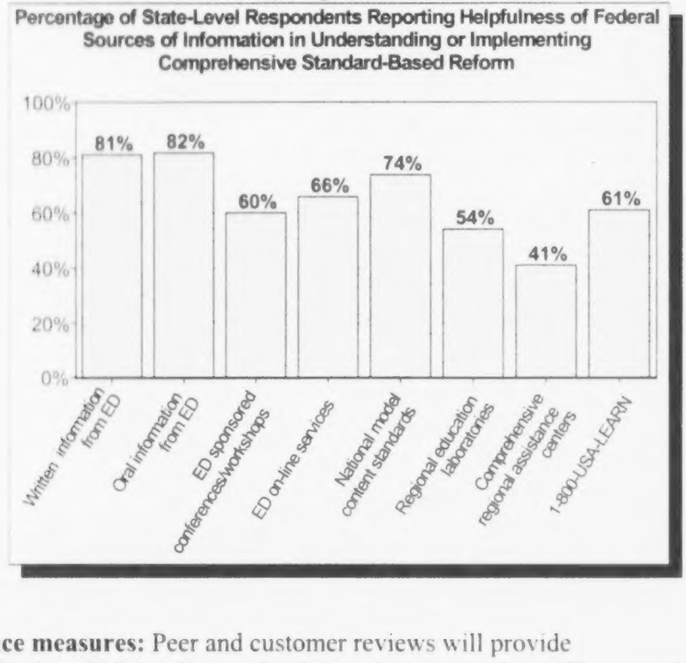


Figure 42



Verification/validation of performance measures: Peer and customer reviews will provide independent validation of research utilization. Independent evaluations using peer review will assess the performance of key providers of research and development. Benchmark studies will compare the Department's research and knowledge development activities against the best in the public and nonprofit sector.

Objective 4.4. Our information technology investments are sound and used to improve impact and efficiency.

Context: The Department must be committed to carrying out the mandates of The Information Technology Management Reform Act of 1996 (Clinger-Cohen Act). It requires the Department to significantly improve the acquisition and management of information technology in order to advance mission performance and service delivery. This includes addressing the need for all major information systems to become Year 2000 compliant, mission-justification of major information system investments, network and web support and the reduction of paperwork burden.

Key strategies for FY 1999

- **Year 2000 compliance.**
  - To continue to implement a major Department effort to become "Year 2000 data compliant" to ensure that ED's data users and customers are not affected by data corruption resulting from hardware, software and devices with embedded technology that cannot correctly process date-related information.
  - The Department is requesting $4 million in FY 1999 to ensure that all computer systems are Year 2000 compliant by March 1999.

- **Network and personal computer infrastructure and ED World Wide Web support.**
  - To ensure that the Department has a cost effective, efficient, accessible and reliable network infrastructure by continuing to implement a Product Support Plan (PSP) that provides guidance of standard hardware and software products supported by ED.
  - To continue to provide a reliable and secure Internet service by implementing ED's redesigned web site that incorporates interactive forms, new products and technologies, and additional customer feedback opportunities.
  - The request includes $26.3 million to maintain automated data processing systems, including network operations, and provide the latest technology to increase productivity and to provide improved customer service.

- **Cost-effective major systems that deliver for ED and its customers.**
  - To assess current and proposed major information systems–such as student financial systems and financial systems as described in Objectives 3.3 and 4.6–by the continuation of the work of the Information Technology Investment Review Board's systematic and careful review of the acquisition and implementation of information technology.
  - To implement a capital planning and investment control process as required by the Clinger-Cohen Act.
- **Data collection.**
  - To continue to improve data collection by increasing ED's use of information technology tools to help us better manage the Department's data collections. This will reduce paperwork burden to the public.

Selected performance indicators and charts

All major information systems needing repair will be converted to Year 2000 compliance on or before March 1999. (Goal 4, indicator 14)

Indicator background and context. Each federal agency is required by the Office of Management and Budget (OMB) to ensure that its information systems are fully compliant well before December 31, 1999. OMB has provided guidance to assist agencies in planning, managing and evaluating their Year 2000 programs.

Year 2000 Compliance: Stages for Determination

- **Assessment:** Identify core business areas and processes, inventory and analyze systems supporting the core business areas, and prioritize their conversion or replacement.
- **Renovation:** Convert, replace or eliminate selected platforms, applications, databases and utilities.
- **Validation:** Test the performance, functionality, and integration of converted or replaced platforms, applications, databases, utilities and interfaces in an operational environment.
- **Implementation:** Implement converted or replaces platforms, applications, databases, utilities and interfaces

The Department has established a Year 2000 project team, designated coordinators in each office, and developed capacity for technical solutions. The chart below illustrates the Department's mission critical systems and their progress to date. The Department identified 14 mission critical systems. Of these, five have been initially assessed to be compliant; two are being replaced; seven are being repaired.

Figure 43

Status of U.S. Department of Education Year 2000 Conversions for Major Systems

(Shading = completed)

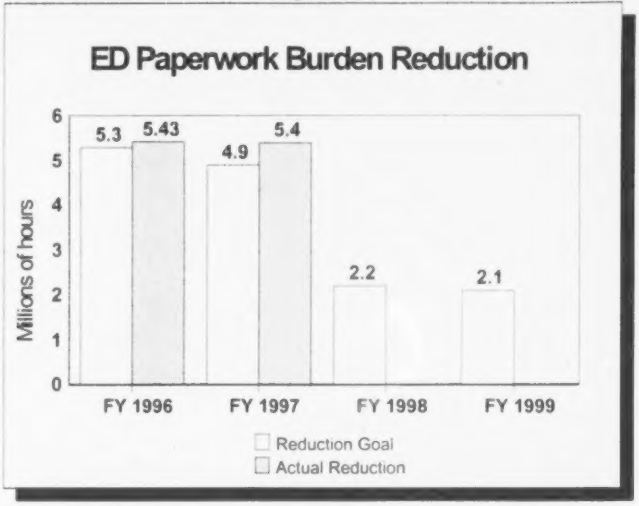
#	14 Mission Critical System and Year 2000 Compliance	Assessment	Renovation	Validation	Implementation	Compliant
Student financial aid systems						
1	Central Processing System (CPS)	1/98	11/98	12/98	1/99	
2	Direct Loan Central Database			12/98	3/99	Yes
3	Direct Loan Origination System			6/98	3/99	Yes
4	Direct Loan Servicing System			12/98	3/99	Yes
5	Postsecondary Education Participants System (PEPS)			6/98	3/99	Yes
6	Multiple Data Entry System (MDE)	2/98	11/98	12/98	1/99	
7	Title IV Wide Area Network (TIVWAN)			6/98	8/98	Yes
8	Campus-Based System (CBS)	2/97	1/98	6/98	6/98	
9	Federal Family Education Loan Program (FFEL)	10/97	9/98	1/99	3/99	
10	Pell Recipients and Financial Mgmt System (PELL)	2/97	6/98	9/98	3/99	
11	National Student Loan Data System (NSLDS)	11/97	6/98	6/98	3/99	
Other Program Systems						
12	Impact Aid Payment System	N/A	N/A	4/98	6/98	
ED Administrative Systems						
13	ED Central Accounting and Payment System (EDCAPS)	N/A	N/A	6/98	4/98	
14	Local Area Network (LAN)	11/97	9/98	9/98	9/98	

Data source. Current inventory systems; monitoring of status, ongoing 1999-2000

The data-reporting burden on the public will be reduced annually. (Goal 4, indicator 17)

Indicator background and context. The Paperwork Reduction Act of 1995 set a 10% reduction goal for FY 1996 and FY 1997 and 5% thereafter for federal agencies to reduce the burden of information collection on the public. The Department's goal was to reduce the paperwork burden by 5.3 million hours in FY 96, 4.9 million hours in FY 97, 2.2 million hours in FY 98 and 2.1 million hours in FY 99. Since the legislation was enacted, the Department has exceeded its targets. The Department reduced data-reporting burden by 10% (5.43 million hours) in FY 1996 and 11.2% (5.4 million hours) in FY 1997. The significant reduction can be attributed to the Department's increased use of information technology and the successful regulatory reinvention effort.

Figure 44



Data source. Information collection forms, annual 1997-2002, review of forms, ongoing 1997-2002.

Verification/validation of performance measures: On-going independent evaluations and testing will monitor progress on Year 2000 compliance. Benchmark evaluations will independently verify the quality of Department information technology systems in relation to similar systems that are considered the best in government.

Objective 4.5. The Department's employees are highly skilled and high-performing.

Context: To effectively lead educational reform, the Department must provide its workforce with certain skills and tools, as well as a quality workplace. Prior GAO reports highlighted the need for the Department to develop strategic management systems, including those for human resources. In addition, recent employee surveys identified the need for quality, cost-effective learning opportunities, especially for current and prospective managers, and improving the quality of the work environment. To ensure the continuous development and high performance of all Department employees, planned activities through 1999 and beyond focus on addressing these needs and building upon related, recently introduced innovations, such as the automated, multi-rater ("360") performance appraisal system.

Key strategies for FY 1999

- **High staff performance.**
  - Provide training and development activities focused on improving leadership and management competencies and addressing critical skills needs, including those related to financial and information management and the use of technology. Partnership arrangements will be used to bring in specialized expertise to the Department from recognized experts. $4 million is requested for training and development services to be made available through the Training and Development Center and through individual principal offices.
  - Benchmark training services with the "best-in-business" in the federal government and private sector.
  - Provide on-line, computer-based training and other innovations to increase access to training opportunities and address the need for additional training opportunities for regional employees, as highlighted by the 1996 Employee Survey and feedback from Union officials working in partnership with the Department.

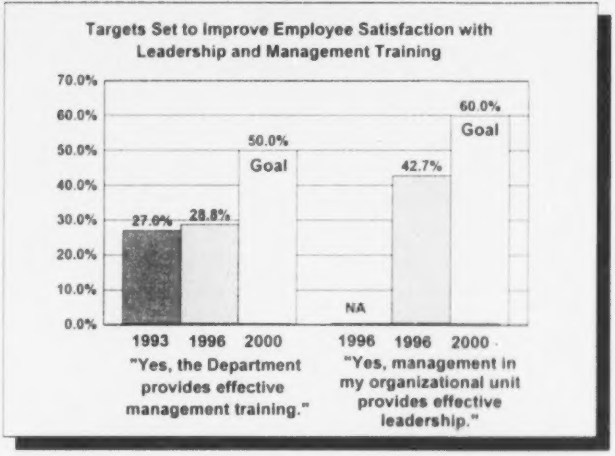
- **A fair, efficient and responsive workplace**.
  - Assess whether the recently opened Informal Dispute Resolution Center (IDRC) and related efforts have been successful in helping employees and managers to avoid and/or promptly resolve EEO complaints or other matters of dispute.
  - Encourage resolution of formal complaints at the earliest stage possible by rendering final agency decisions in-house and thereby minimizing the caseload at EEOC.

- **A healthy, safe, secure and accessible workplace for all employees**.
  - Ensure that employees who move back to their newly renovated headquarters facility, as well as those being relocated in regional offices in Philadelphia, San Francisco and Kansas City, are satisfied with workplace services, including those related to the actual moves. For 1999, $2.8 million is requested to support the renovation of Department office space, primarily in the regional offices.
  - Ensure that measures of workplace quality, including air and water quality, are consistently high as are measures of satisfaction with the responsiveness of services requested through the Department's customer service center.

Selected performance indicators and charts

By 2000, 75% of Department managers will agree that staff knowledge and skills are adequate to carry out the Department's mission. (Goal 4, indicator 19)

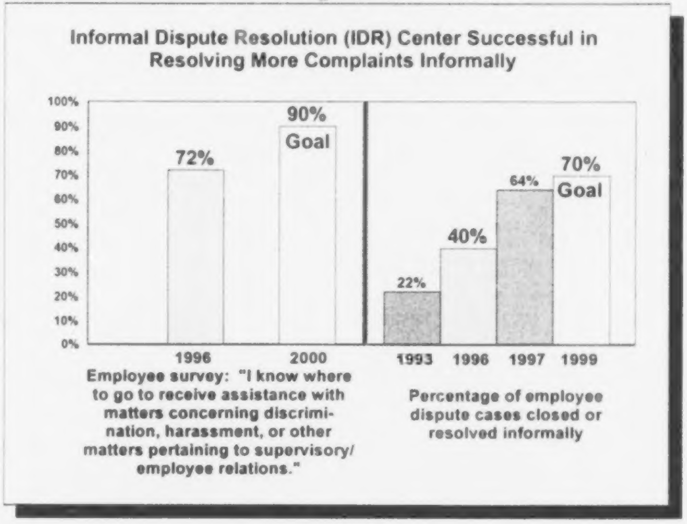
Figure 45



Indicator background and context. An array of survey and focus group data and information from the GAO exists indicating that agency managers lack confidence that staff knowledge and skills are adequate to manage large systems and carry out certain other core responsibilities. One example highlighted by the Employee Survey is that the ability to manage effectively remains a concern of employees. The 1996 Employee Survey indicated that 28.8% of employees agree that the Department delivers effective managerial training, and 42.7% agree that management provides effective leadership in their organizational unit. By the end of 1998, baseline data will be available on the proportion of mangers who agree that staff knowledge and skills are adequate, and an extensive employee survey effort is planned for 2000 to assess overall progress in meeting performance targets.
Data source. 1993 & 1996 Employee Surveys.

By 2000, most employees and managers will express high satisfaction with assistance on resolving employee disputes, and disputes will be closed quickly and informally whenever possible. (Goal 4, indicator 21)

Figure 46



Indicator background and context. The 1996 Employee Survey indicated 72% of employees know where to go to receive assistance in resolving disputes. The Department has targeted high results in this area, based on the projection that the marketing and information efforts of the recently opened IDRC will have a positive impact on this measure. Opening of the IDRC and re-engineering the EEO office may already have had an impact on the percentage of disputes being resolved informally—the 1997 IDRC report stated 64% of employee disputes were resolved informally, an increase from 22% in 1993.
Data source. 1996 Employee Survey, EEOC 462 Reports, IDRC Reports.

Verification/validation of performance measures: Employee surveys and evaluations, such as the one planned for the Informal Dispute Resolution Center, are or will be administered by independent contractors. Information systems are used to calculate processing times and so forth for employee complaint processing and other matters. In addition, other administrative records will be used to determine the quality of employee responses and services to customers.

Objective 4.6. Management of our programs and services ensures financial integrity.

Context: The Department must be committed to carrying out the mandates of The Chief Financial Officers Act of 1990 and the Federal Financial Management Improvement Act of 1996. According to these laws and regulations there must be developed an integrated, sound accounting and financial management system. A measure of financial integrity is a clean audit opinion on annual financial statements. In addition to financial management, financial integrity requires an effective contracts and purchasing system to support mission critical departmental and program office objectives.

Key strategies for FY 1999

- **Centralized core data.**
  - Provide timely and reliable information to program and support offices to help them manage their responsibilities by completing the implementation of a new central automated processing system—Education Central Automated Processing System (EDCAPS).
  - Continue to provide training of staff in core financial management competencies.
  - Improve recipients accountability and reporting through the use of EDCAPS.
  - The $7.3 million request for the new Education Department Central Automated Processing System (EDCAPS) will support installation and integration of final system components, training of Department staff and enhancements to the basic structure of the system.

- **Financial integrity.**
  - Improve Loan Loss Estimates
  - Reduce the number of material weaknesses and material non-conformances to zero

- **Performance-based contracting.**
  - Control costs by implementing performance-based contracting and by repatriating work contracted out when effective and possible within staff ceilings.
  - Review every contract for the maximum use of effective performance objectives and measures to assess the value provided.
  - Continue to provide training to all ED procurement and technical personnel in their capability to productively manage the performance of contractors.

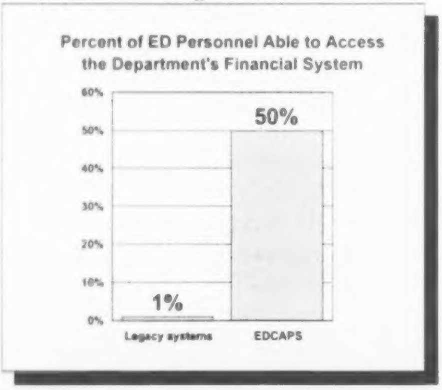
Selected performance indicators and charts

By 2000, the Education Central Automated Processing System (EDCAPS) will be fully implemented and providing assistant secretaries, the Chief Financial and Chief Information Officer, and program managers with consistent, timely and reliable financial and program information. This result will be assessed by the Information Technology Investment Review Board. (Goal 4, indicator 24)

Indicator background and context. EDCAPS will be the core financial system for ED and will be used by both Department personnel as well as the recipient community (grantees and contractors). The number of Department personnel using EDCAPS will increase due to its timely and readily accessible data, thus enhancing the financial management of programs.

EDCAPS enables recipients to draw down funds through the Internet, thereby reducing the Department's dependency on contractors to provide this service.

Figure 47


Percent of ED Personnel Able to Access the Department's Financial System

Recipients are also able to report their expenditures electronically, eliminating the current paper-based process. **Data source.** EDCAPS users; GAPS Web site user activity listing.

Auditors will issue a clean opinion on the Department-wide annual financial statements every year. (Goal 4, indicator 26)

Indicator background and context. By fiscal 1999 intends that the number of material weaknesses and material non-conformances will be reduced to zero, loan loss estimates are accepted by auditors and the Department will receive a clean opinion on its financial statements. This will signal that effective that effective financial management has been fully implemented. **Data source.** Federal Managers' Financial Integrity Act Report.

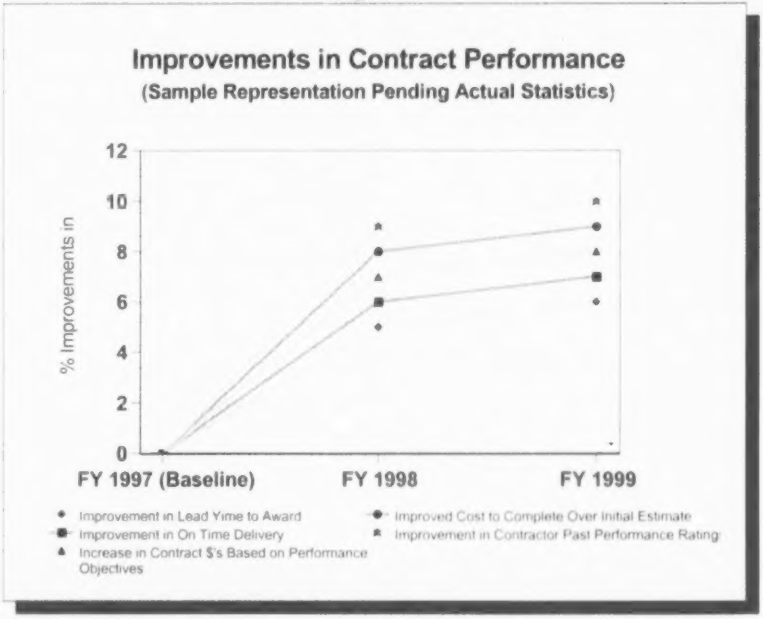
Figure 48

Number of Material Weaknesses and Material Non-Conformances	
Still pending, as of 12/31/97	7
Goal for 1999	0

Evaluation of contracts will indicate that better than fully successful performance, including quality, cost control, timeliness, and other factors, is being received by the government and the taxpayer. (Goal 4, indicator 25)

Indicator background and context. A contract's terms and conditions are a representation of the government's expectations for how the government's particular needs are to be fulfilled. There are numerous indicators that provide analytical data to determine the value of the work which is done for the agency. The value is determined by a variety of factors, but there are a few which universally are key: (1) timeliness in the award of a contract; (2) continual efforts at cost containment and reduction; and (3) the best quality solution. **Data source.** U.S. Department of Education Contract Data.

Figure 49



Verification/validation of performance measures: The indicator of a "clean audit opinion" will be obtained from an independent audit, as required by statute. The Inspector General participates in the conduct of the audit and the reporting/tracking of material weaknesses. Administrative reports prepared by project monitors on contractor performance will be externally evaluated by random sampling and external review of contracts.

Objective 4.7. All levels of the agency are fully performance-driven.

Context: The Government Performance and Results Act "the Results Act" (GPRA) provides the Department with strong support and guidance for new ways of operating and improving our programs. Its focus on results affects all aspects of an organization and its operations—drafting legislation and regulations, ensuring program quality and financial integrity, conducting employee appraisals and assessment, and measuring program performance and more.

Key strategies for FY 1999

- **Sound implementation of the Strategic Plan.** Building on the Department's well-received Strategic Plan, extensive steps are being taken to ensure effective implementation of the plan by:
  - Effectively communicate the Strategic Plan to employees by such means as highlighting success stories, training, and recognizing employees for good work implementing the plan.
  - Track performance through quarterly reporting that assesses progress against each objective and provides feedback for continuous improvement.
  - Align performance appraisals for assistant secretaries and senior managers with the achievement of Strategic Plan objectives.
  - Promote an analytic agenda that includes benchmarking studies to identify best public and private sector practices and strengthen the underlying knowledge base for achieving Strategic Plan objectives.
  - Conduct independent evaluations of the usefulness of the Strategic plan for decision making and continuous improvement.

- **Strong budget support for planning and performance measurement.** The structure of the Department's 1999 budget request reflects the Strategic Plan and includes funding for evaluations, performance measurement, statistics and assessments required by GPRA.
  - Performance reporting linked to budget and strategic plan to make the Strategic Plan a useful management tool.
  - Resource allocations are aligned with agency priorities and performance, including support in the budget for evaluations, performance measurement, statistics and assessments.
  - Training funds support development of skills in Department employees for implementation of plans and performance measurement.

- **Ensuring assessment of the quality of data systems.** The quality of a performance measurement process is no better than the quality of the data collected. (For more detail, see *Section 3. Quality of Performance Data.*)
  - The Department will support self assessments and evaluations of indicator systems for both the Department's Strategic Plan and the individual program plans.
  - Develop guidance for ED managers on developing and monitoring quality data systems, and the use of data to manage program performance.
  - The Office of the Inspector General (OIG) will assess and evaluate the information systems for selected program areas that are critical for obtaining the data needed to meet GPRA requirements.

- **Effective collaboration with partners in performance measurement and data systems**. In the federal education system the success of a strategic plan depends on the success of its partnerships.
  - Partner collaboration on implementing the plan is continually expanded and strengthened.
  - State/local grantees are provided models and best practices for performance monitoring and analyses.
  - Communicate the Strategic Plan externally with partners though meetings, presentations at major conferences, organization newsletters and the Internet.

Programs that have evaluation set-asides supporting this objective or authorized to fund evaluations

- Title I Evaluation
- Magnet Schools Program
- Charter Schools Program
- TRIO Program
- Vocational Education National Programs
- IDEA National Activities
- Adult Education Evaluation and Technical Assistance

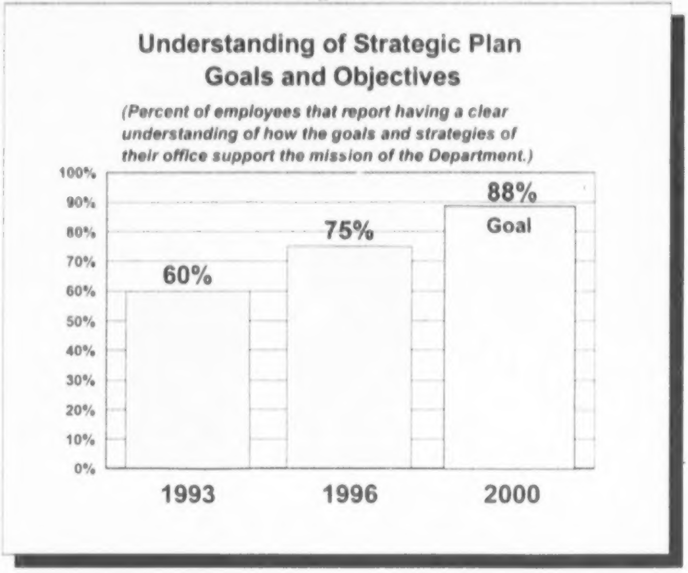
Selected performance indicators and charts

Performance indicators in Objective 4.7 identify the extent to which sound performance data are effectively used throughout the agency. These indicators address employee understanding of their contribution to the ED's goals and objective, the existence of adequate performance measurement systems, manager's use of performance data for improvement, and evidence that policy, budget and resource allocation decisions are aligned with ED's strategic priorities.

Employees will recognize the Strategic Plan as meaningful and understand how their work supports achieving the plan's goals and objectives. (Goal 4, indicator 27)

Indicator background and context. Critical to agency performance on this objective is the extent to which employees understand and support and actively work toward achieving the agencies goals and objective. From 1993 to 1996 there has been a 15% increase in reported employee understanding of how the goals and strategies support the mission of the Department. In part this increase may have been due to the development and release of the Department's first Strategic Plan in 1994. Distribution of the Department's 1998-2002 Strategic Plan kicked off implementation efforts that for the 4 year period from 1996 to 2000 should produce at least a similar 15% increase.

Figure 50



Data source. U.S. Department of Education Employee Survey, 1993, 1996.

Verification/validation of performance measures: The Inspector General will provide an independent assessment of the reliability and validity of program performance information. Use and impact of the Education Department's Strategic Plan and the effectiveness of planning operations will be validated through an independent panel composed of noted experts in the planning, evaluation and education field.

Use of tax expenditures

In addition to the many programs that ED administers, tax expenditures targeted for educational benefits also significantly support the objectives of the ED Strategic Plan in 1999. While they are under the jurisdiction of the Department of the Treasury, the postsecondary education tax credits and deductions authorized by the Balanced Budget and Taxpayer Relief Acts of 1997 and the proposed School Modernization Bonds support several Department of Education objectives.

Elementary and secondary schools

This proposed interest-free bond program would support Objective 1.3: *Schools are strong, safe, disciplined, and drug-free.*

- **School Modernization Bonds (for school construction).** States, territories, and school districts—especially those serving large numbers of low-income children—will be eligible for $9.7 billion in 1999 in zero-interest bonds to support the construction and renovation of public school facilities.

Postsecondary education

All of the following tax credits, deductions, and forgiveness provisions were recently authorized by the Balanced Budget Act of 1997 or the Taxpayer Relief Act of 1997. All support Objective 3.2: *Postsecondary students receive the financial aid and support services they need to enroll in and complete their educational program.* The Lifelong Leaning tax credit and employer-provided higher education assistance tax deduction also support Objective 3.4: *Adults can strengthen their skills and improve their earning power over their lifetime through lifelong learning.*

Expanded opportunities to save for college

- **New Education IRAs and use of regular IRAs for education expenses.** Parents and grandparents can now create education IRAs and make penalty-free withdrawals from other IRAs.
  - Beginning January 1, 1998, taxpayers may withdraw funds from an IRA, without penalty, for their own higher education expenses or those of their spouse, child, or even grandchild.
  - In addition, for each child under age 18, families may deposit $500 per year into an Education IRA in the child's name. Earnings in the Education IRA will accumulate tax-free and no taxes will be due upon withdrawal if the money is used to pay for post-secondary tuition and required fees (less grants, scholarships, and other tax-free educational assistance), books, equipment, and eligible room and board expenses. Once the child reaches age 30, his or her Education IRA must be closed or transferred to a younger member of the family.

- **Support for State-sponsored pre-paid tuition plans.** In order to provide greater flexibility for families saving in qualified State tuition plans, when a family uses a qualified State-sponsored tuition plan to save for college, no tax is due in connection with the plan until the time of withdrawal. Further, families may use these plans to save not only for tuition but also for certain room and board expenses for students who attend on at least a half-time basis. These benefits are available on January 1, 1998.

Help for postsecondary students

- **HOPE Scholarship.** The "HOPE Scholarship" tax credit helps make the first two years of college or vocational school universally available. These non-refundable tax credits will reimburse families for up to $1,500 for each of the first two years of postsecondary education. An estimated 5.5 million students will receive $4.2 billion in HOPE tax credits in 1999.

  Students will receive a 100% tax credit for the first $1,000 of tuition and required fees and a 50% credit on the second $1,000. This credit is available for tuition and required fees less grants, scholarships, and other tax-free educational assistance and will be available for payments made after December 31, 1997, for college enrollment after that date. A high school senior going into his or her freshman year of college in September 1998, for example, could be eligible for as much as a $1,500 HOPE tax credit.

  The credit can be claimed in two years for students who are in their first two years of college or vocational school and who are enrolled on at least a half-time basis in a degree or certificate program for any portion of the year. The taxpayer can claim a credit for his own tuition expense or for the expenses of his or her spouse or dependent children.

- **Lifetime Learning tax credit.** Lifetime Learning credits make will postsecondary education more affordable for students beyond their first two years of study, as well as for those taking class part-time to upgrade their job skills. This tax credit is targeted to adults who want to go back to school, change careers, or take a course or two to upgrade their skills and to college juniors, seniors, graduate and professional degree students. It offers a 20-percent non-refundable tax credit for the first $5,000 of tuition and fees each year through 2002 and a 20-percent non-refundable tax credit for the first $10,000 thereafter. An estimated 7.2 million students will receive $2.5 billion in Lifelong Learning tax credits in 1999.

- **Tax deduction for employer-provided higher education benefits.** For adults going to school while they work, the new tax law extends Section 127 of the tax code for three years. Section 127 allows workers to exclude up to $5,250 of employer-provided education benefits from their income. The assistance must be for undergraduate courses beginning prior to June 1, 2000. This provision will enable many Americans to pursue their goals of lifelong learning.

Tax relief for borrowers repaying loans

- **Easier student loan repayment.** For many college graduates, one of their first financial obligations is to repay their student loans, which average about $13,500 per student. The new student loan interest deduction will reduce the burden of the repayment obligation by allowing students or their families to take a tax deduction for interest paid in the first 60 months of repayment on student loans. The deduction is available even if an individual does not itemize other deductions. The maximum deduction is $1,000 in 1998, $1,500 in 1999, $2,000 in 2000, and $2,500 in 2001 and beyond.

- **Community service loan forgiveness**. This provision excludes from income the student loan amounts forgiven by non-profit, tax-exempt charitable or educational institutions for borrowers who take community-service jobs that address unmet community needs. For example, a recent graduate who takes a low-paying job in a rural school will not owe any additional income tax if in recognition of this service his or her college or another charity forgives a loan it made to the student to help pay college costs. This provision applies to loans forgiven after August 5, 1997.

Funding and staffing by objective

The following table shows the Department's initial estimated distribution of its funding and staffing by Strategic Plan objective. The Department does not have an accounting system that fully supports this breakout. Accordingly, where funds were split between objectives, estimates took into account knowledge about program components or evaluation study findings.

Exhibit 3

Distribution of FY 1999 Funding and Staffing by Objective

	Program ($ in millions)	S&E Funding ($ in 000s)	Staffing (FTE)
Total—unduplicated	$36,742.1	$958.2	4,623
Goal 1: Help all students reach standards.	**$6,400.0**	**$45.2**	**332**
Objective 1.1. States develop and implement standards.	*$291.5*	*$4.3*	*32*
Objective 1.2. School to work	*$1,760.0*	*$13.1*	*96*
Objective 1.3. Strong, safe, drug-free schools	*$1,892.0*	*$8.9*	*66*
Objective 1.4. Talented and dedicated teachers	*$807.6*	*$5.1*	*38*
Objective 1.5. Families and communities	*$361.3*	*$3.0*	*22*
Objective 1.6. Public school choice	*$251.0*	*$3.8*	*28*
Objective 1.7. Education technology	*$1,021.0*	*$6.9*	*51*
Goal 2: A solid foundation for all children	**$13,775.1**	**$42.0**	**309**
Objective 2.1. All children ready to learn	*$1,906.6*	*$2.9*	*22*
Objective 2.2. All children able to read by 3rd grade	*$5,894.2*	*$13.7*	*101*
Objective 2.3. All 8th graders master math	*$3,361.3*	*$10.3*	*76*
Objective 2.4. Special populations help	*$2,613.0*	*$15.1*	*111*
Goal 3: Postsecondary education and lifelong learning	**$15,812.9**	**$621.6**	**1,922**
Objective 3.1. Secondary students–information & support	*$5,122.0*	*$3.4*	*25*
Objective 3.2. Postsecondary students–financial aid & support	*$10,712.4*	*$184.6*	*1,358*
Objective 3.3. Postsecondary aid system		*$389.3*	*213*
Objective 3.4. Lifelong learning	*$4,588.3*	*$44.3*	*326*
Goal 4: ED a high-performance organization	**$540.6**	**$180.5**	**1,328**
Objective 4.1. Customer service		*$26.4*	*194*
Objective 4.2. Support for ED partners	*$65.0*	*$11.6*	*85*
Objective 4.3. Research and development	*$475.6*	*$59.1*	*435*
Objective 4.4. Information technology		*$9.9*	*73*
Objective 4.5. ED workforce/operational support		*$23.3*	*172*
Objective 4.6. Financial integrity		*$44.6*	*328*
Objective 4.7. Performance management		*$5.5*	*41*
Civil Rights	**$79.3**	**$69.0**	**731**
Duplicated Objectives			
Objective 1.4 Talented and dedicated teachers	*$1,558.5*	*$9.1*	*67*
Objective 2.4 Special populations help	*$13,642.8*	*$49.0*	*361*

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Constructing this table for postsecondary education and lifelong learning was relatively easy. Many K-12 programs have multiple purposes and functions and did not fit as easily into one or two objectives.

Two objectives were particularly cross-cutting, such that major programs could count as meeting them plus at least one other. These were the professional development objective (Objective 1.4) and support for K-12 special populations (Objective 2.4). For example, Title I is totally aimed at improving education for special populations, but, at the same time, it provides billions of dollars for reading and math instruction and thus is the major source of support for Objectives 2.2 and 2.3 (the reading and math objectives).

The funds shown in the *unduplicated* part of the table for Objective 1.4 and 2.4 include programs or parts of programs which had little or no overlap with other objectives. We also calculated *duplicated* totals for theses two objectives (shown at the bottom of the table) in which were counted all or part of programs that supported professional development or special populations, regardless of whether the program also supported other objectives. As can be seen, a substantial portion of the Department's K-12 funding goes for special populations ($13.6 billion out of the $20.2 billion for Goals 1 and 2.).

Relationship of program goals to Strategic Plan goals and objectives

The Department is committed to being held accountable for measuring and reporting results on our goals and objectives. Like the strategic plan, the individual program performance plans lay out goals objectives, performance indicators and targets, data sources, and key strategies for all programs in the Department. They are directly linked to the Department's budget for each program area. In some cases, several budget line items have been aggregated into a single performance plan. The individual programs are separately identifiable, however, with at least one objective specified for each.

The following table links the Department's programs to the objectives in the strategic plan. It is intended to show where programs have a significant amount of activities or products supporting an objective.

Relationship of Department of Education Programs to Strategic Plan Objectives

		Ellender fellowships	Education for Native Hawaiians	Alaska Native Education equity	Charter schools	Comp. regional assistance centers	Education opportunity zones (prop.leg.)	America Reads Challenge (prop.leg)	Indian education	Bilingual education	Foreign language assistance	Immigrant education	IDEA special ed. state grants (Part B)	IDEA preschool grants (Part B)	IDEA infants and families (Part C)	IDEA State Improvement	IDEA Research and innovation	IDEA tech. assist. & dissem.	IDEA personnel preparation	IDEA parent information centers	IDEA technology and media services	Vocational rehab. (VR) state grants	RA grants for Indians	RA client assistance State grants	RA training	RA special demonstration programs	RA migratory workers
	FY 1999 Request ($000s)	$0	$18,000	$8,000	$100,000	$40,000	$200,000	$260,000	$66,000	$232,000	$5,000	$150,000	$3,810,700	$373,985	$370,000	$45,000	$64,508	$44,556	$82,139	$20,535	$34,023	$2,325,280	$17,283	$10,928	$33,685	$18,942	$2,350
Goal 1: K-12 education system																											
1.1	States develop and implement standards					X							X			X	X	X									
1.2	School to work												X					X				X	X				
1.3	Strong, safe and drug-free schools					X	X																				
1.4	Talented and dedicated teachers					X	X		X	X			X	X	X	X		X	X								
1.5	Families and communities		X	X		X				X								X		X							
1.6	Public school choice				X	X	X																				
1.7	Technology					X															X						
Goal 2: A solid foundation for all students																											
2.1	All children ready to learn		X	X		X		X					X	X	X		X	X									
2.2	Third grade reading					X	X	X	X	X			X				X	X									
2.3	Eighth grade math					X	X		X	X			X				X	X									
2.4	Special populations help	X	X	X		X	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X				X
Goal 3: Postsecondary education and lifelong learning																											
3.1	Secondary students--information & support												X				X	X									
3.2	Postsecondary students--fin. aid & support		X																								
3.4	Lifelong learning																					X	X		X	X	X
Goal 4: High-performance organization																											
4.2	Flexibility with accountability				X																						
4.3	Research, evaluation and improvement				X												X										
Civil rights, direct support													X	X										X			

Relationship of Department of Education Programs to Strategic Plan Objectives

	RA recreational programs	RA protect./advoc. indiv. rights	RA projects with industry	RA independent living	RA program improvement	RA evaluation	Helen Keller National Center	NIDRR	Assistive technology	American Printing House for the Blind	Natl. Institute for Deaf	Gallaudet University	Vocational education State grants	Vocational education natl. programs	Tribally control, postsec. voc. instit.	Adult ed. (grants, eval., tech. assist.)	National Institute for Literacy	Literacy programs for prisoners	Pell grants	Campus-based programs	State students incentive grants	Federal Family Education Loans	Direct Students Loans	Aid for institutional development	Fund for Improvement of Postsec. Ed.	Int. ed. & foreign lang. studies
FY 1999 Request ($000s)	$2,596	$9,894	$22,071	$22,296	$1,900	$1,587	$8,176	$81,000	$30,000	$8,256	$44,791	$83,480	$1,010,522	$13,497	$0	$388,000	$6,000	$0	$7,594,000	$1,649,000	$0	$1,764,317	$525,484	$260,000	$22,500	$61,117
Goal 1: K-12 education system																										
1.1 States develop and implement standards								X																		
1.2 School to work													X	X	X											
1.3 Strong, safe and drug-free schools																										
1.4 Talented and dedicated teachers												X														
1.5 Families and communities								X																		
1.6 Public school choice																										
1.7 Technology								X	X																	
Goal 2: A solid foundation for all students																										
2.1 All children ready to learn										X																
2.2 Third grade reading										X															X	
2.3 Eighth grade math										X																
2.4 Special populations help								X	X	X		X	X	X												
Goal 3: Postsecondary education and lifelong learning																										
3.1 Secondary students–information & support										X	X	X														
3.2 Postsecondary students--fin. aid & support										X	X	X							X	X	X	X	X	X	X	X
3.4 Lifelong learning	X		X	X	X		X	X	X	X	X	X			X	X	X	X	X			X	X			
Goal 4: High-performance organization																										
4.2 Flexibility with accountability																										
4.3 Research, evaluation and improvement					X	X		X						X			X							X		X
Civil rights, direct support		X		X																						

Relationship of Department of Education Programs to Strategic Plan Objectives

	Urban community service	Teacher recruitment/preparation - Title V	Interest Subsidy grants	TRIO programs	Natl. early intervention scholarships	State grants for incarcerated youth offenders	Byrd honors scholarships	George Bush fellowships	Javits fellowships	National need grad. fellowships	Early awareness information program	Learning anytime anywhere partnerships	Access and retention innovations	Howard University	Interagency research initiatives	National education research institutes	Regional educational laboratories	National dissemination activities	Statistics and assessment	Eisenhower prof. dev. federal	Funds for Improvement of Education	Javits gifted and talented education	Eisenhower reg. math/sci/consortia	Learning centers	High Hopes College-School Partnerships	National writing project
FY 1999 Request ($000s)	$0	$67,000	$13,000	$583,000	$0	$0	$39,288	$0	$0	$37,500	$15,000	$30,000	$20,000	$210,000	$50,000	$53,782	$56,000	$18,785	$104,000	$50,000	$105,000	$6,500	$25,000	$160,000	$140,000	$5,000
Goal 1: K-12 education system																										
1.1 States develop and implement standards																X	X	X	X	X	X		X			
1.2 School to work						X										X		X	X							
1.3 Strong, safe and drug-free schools																		X	X					X		
1.4 Talented and dedicated teachers		X														X	X	X	X	X			X			X
1.5 Families and communities	X										X						X	X	X					X		
1.6 Public school choice																		X	X							
1.7 Technology	X											X					X	X	X	X			X			
Goal 2: A solid foundation for all students																										
2.1 All children ready to learn	X														X	X	X	X	X							X
2.2 Third grade reading		X													X	X	X	X	X		X	X		X		X
2.3 Eighth grade math		X													X	X	X	X	X	X	X	X	X	X		X
2.4 Special populations help		X		X		X					X	X			X	X	X	X	X			X		X	X	
Goal 3: Postsecondary education and lifelong learning																										
3.1 Secondary students--information & support				X	X	X					X	X							X						X	
3.2 Postsecondary students--fin. aid & support		X		X	X		X	X	X	X		X	X	X					X							
3.4 Lifelong learning				X		X						X				X		X	X							
Goal 4: High-performance organization																										
4.2 Flexibility with accountability																	X									
4.3 Research, evaluation and improvement												X	X			X	X	X	X	X	X	X				
Civil rights, direct support																			X							

Relationship of Department of Education Programs to Strategic Plan Objectives

		Civic education	Internatl. ed. exchange (Goals 2000)	Office for Civil Rights
	FY 1999 Request ($000s)	$6,300	$5,000	$68,000
Goal 1: K-12 education system				
1.1	States develop and implement standards			
1.2	School to work			
1.3	Strong, safe and drug-free schools			
1.4	Talented and dedicated teachers			
1.5	Families and communities			
1.6	Public school choice			
1.7	Technology			
Goal 2: A solid foundation for all students				
2.1	All children ready to learn			
2.2	Third grade reading			
2.3	Eighth grade math			
2.4	Special populations help			X
Goal 3: Postsecondary education and lifelong learning				
3.1	Secondary students--information & support			
3.2	Postsecondary students--fin. aid & support			X
3.4	Lifelong learning			X
Goal 4: High-performance organization				
4.2	Flexibility with accountability			
4.3	Research, evaluation and improvement			
Civil rights, direct support				X

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Exhibit 4

Strategies for Ensuring High Quality Information for Strategic Plan and Program Performance Indicators

- **Performance indicator standards**
  - **Timeliness.** Ensure performance information is collected on a regular and timely basis (e.g., a minimum of two data collections per indicator over the Strategic Plan period; quick turnaround customer surveys).
  - **Validity**. Ensure performance indicators are valid (e.g., measures align with research-based findings on effective practices). Conduct state-of-the-art reviews of measures by objective and major program area.
  - **Reliability**. Ensure performance indicators are reliable (e.g., measures meet acceptable sample size criteria for confidence levels, samples are appropriately representative; definitions are consistent overtime.)
  - **Disaggregation**. Ensure performance indicators appropriate disaggregate information down to key operational units (e.g., states for state grant programs).

- **Employee training in performance measurement and use**
  - **Materials and tools.** Develop guides and training programs around performance management and measurement
  - **Training:**
    - Tailored training to particular offices needs and offer ongoing performance measurement assistance.
    - Develop certificated courses in performance measurement and utilization.
    - Evaluate employee capabilities in different offices to manage information for performance.
    - Offer on-line training

- **Monitor data quality**
  - **Internal monitoring and reviews.** Develop an indicator ranking system that assesses indicator quality by objective and major program area.
  - **Staff performance agreements.** Require program managers, as part of their performance agreement, to validate the quality of their program performance information.
  - **Evaluation of data quality.**
    - Ensure independence and objectivity of performance information by relying on program evaluations to collect and process performance reports and to conduct independent evaluations of performance for major programs.
    - Conduct indicator quality evaluations to assess the accuracy of key indicator information.
  - **Inspector General.** Support Inspector General reviews of data quality (see exhibit 5).

- **Accountability for data quality**
  - **Attest to data quality.** "ED program mangers assert that the data used for their program's performance measurement are reliable and valid or will have plans for improvement." (Objective 4.7: Indicator 31)
  - **External validation.** Evaluate program managers assertions through IG audits and program evaluations.

Quality of Performance Data: How Data Will Be Verified and Validated

Effectively reporting the performance of the Education Department in achieving its Strategic Plan goals and objectives requires developing some new data systems and fixing old ones. The new systems will seek to redirect data collections toward gathering performance information on the accomplishment of Department-wide and program goals. Existing data systems need to be strengthened to ensure the Department receives high quality and timely data on its programs and their effects.

The Department is undertaking a comprehensive set of data improvement activities built around the following two strategies.

- Strengthening data quality.
- Efficiently reporting and using performance information for improvement.

Actions being taken to achieve these strategies are described below followed by highlights of the strategies being taken to improve elementary/secondary and postsecondary data quality.

Strengthening data quality

The quality of the Department's performance measures can be no better than the quality of the data from which they are generated. Inadequate attention to data quality produces inaccurate information and misleading results. The lack among many program staff of formal training in information processing, evaluation and reporting is a further impediment to obtaining high quality information. .

To ensure the quality of performance indicator information the Department is proceeding forward on a four-part improvement strategy (Exhibit 4).

- *Develop Department-wide standards for performance indicator measurements.* The standards should be consistent with data quality standards developed by the National Forum on Education Statistics and evaluation standards prepared by the American Evaluation Association. These standards would apply to indicators in the Department's multiyear Strategic Plan and annual program plans.
- *Develop employee training in the application of the data standards for performance measurement.* Training will be made on-going, integral to employee work and a priority of supervisors. To support performance measurement training, the Department already has developed a performance measurement guide by a noted expert in the field (see Hatry and Kopczynski, 1997). This comprehensive overview of performance measurement will be followed by miniguides on performance management and measurement, often customized to individual agency offices.

- *Monitor data quality*. Quality control to ensure sound data is essential to the Department, which is heavily dependent on State, grandee and institutional external data systems for information. The Department is developing a formal process of rating data quality against data quality standards. The Department will also use program evaluations for data validation. In addition, the Department is working closely with its Office of Inspector General to achieve independent monitoring of the reliability of its data quality in high priority areas. See Exhibit 5 on Inspector General activities.

- *Managers attest to the reliability and validity of their performance measures or submit plans for data improvement*. Making managers accountable for data quality encourages attention to sound data collections from the start of the grantmaking process. Managers asserting to the quality of their data coupled with periodic external validation of their assertions is a powerful new incentive to improve program performance information.

During 1998 and 1999, the Department will be strengthening its two major performance indicator systems, one for the elementary and secondary system and a second for student aid. Collectively, these systems account for about three-quarters of Departmental funds.

Developing an integrated data system for elementary and secondary state grant programs

A key component of the Department's information improvement strategy is creating integrated federal/state indicator systems for the elementary and secondary state grant programs. This redesign will cover all federal funds disbursed through the state grant process. These include programs to support challenging standards, at-risk students, professional development, education technology, safe and drug-free schools, and general improvement support.

A joint redesign project with the Council of Chief State School Officers will begin in spring 1998. Initial tasks will include agreement on a set of data standards, key performance indicators and pilot testing of systems beginning in the fall of school year 1998-99. Our target is to begin working with a least six exemplary states on developing aligned, exemplary integrated indicator systems.

Key steps to developing the redesigned system include:

- Identifying critical indicators in the Department's strategic and program plans that are essential to evaluating the performance of state grantees against program goals and objectives.

- Identifying which indicators are appropriate to collect at the national level and which ones should be reported at the individual state level.

- Determining the best measures available to states within an appropriate range of costs and data burden.

- Aligning state performance reporting to indicators and measures, including exploring electronic means for data transmission.

- Agreeing to standards for data reliability and validity for state-reported performance measures.

- Coordinating data collections across different information sources, including state performance reports and general purpose statistical collections. The later can serve as an independent check on self-reported performance information.

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Exhibit 5

Inspector General Support for Data Verification and Validation

The Office of Inspector General (OIG) has participated in an advisory capacity in the development of the Department's Strategic Plan and Annual Plan and will continue to provide this service to Department managers.

The OIG is currently performing the first in a series of audits covering the Department's implementation of the Government Performance and Results Act. The objectives of the first audit are; (1) to assess the Department's process for institutionalizing the results-oriented management envisioned by the Act; and (2) to assess the development of the system for the accurate and timely collection and reporting of performance data.

For the Strategic Plan, the OIG recommended that Department program managers assert that the data used for their program's performance measurement are reliable and if not reliable, detail plans for improving the data or finding alternative sources. The Department agreed with the OIG's recommendation and included it as a performance indicator in the Strategic Plan. The OIG plans to perform a series of audits on select performance measurement data to assess the reliability of that data. The OIG also plans to assess how the Department is using the performance data to improve programs.

Improving postsecondary data quality

Validity and accuracy of postsecondary performance measures. Data used to measure progress toward achievement of the performance indicators come from several sources including program data, surveys conducted by the National Center for Education Statistics (NCES), and evaluation studies. Steps being taken in 1998 and 1999 to strengthen the quality of these data include:

- Improving the coordination of data related to postsecondary education through the National Postsecondary Education Cooperative (NPEC) which is sponsored by NCES and whose mission is, "to promote the quality, comparability, and utility of postsecondary data and information that support policy development, implementation, and evaluation." NPEC will help improve the efficiency and usefulness of the data reported on postsecondary education by standardizing definitions of key variables, avoiding duplicate data requests, and increasing the level of communication between the major providers and users of postsecondary data.
- Continuing to support and strengthen NCES's major postsecondary data collection activities including the Integrated Postsecondary Education Data System (IPEDS), the National Postsecondary Student Aid Study (NPSAS), the Beginning Postsecondary Student Study (BPS), the Bachelor's and Beyond Study (B&B), and the National Education Longitudinal Study (NELS). A major area of expected improvement in the quality of these data collections is better linkages with OPE's student aid data files to capture accurate data on the federal aid being received by survey respondents.

- Using evaluation methods and findings for the TRIO and Title III programs to help improve the data collected in the annual program performance reports to provide a more accurate and more complete picture of the activities and outcomes of the two programs.

Accuracy and efficiency of program data systems. In FY 1999 the Department of Education will provide nearly $51 billion in federal student aid funds. To properly distribute and account for these funds, the Department of Education needs to process and store data from over: 8 million student aid applications; 93 million individual student loans with a value of more than $150 billion; 6,000 postsecondary institutions; 4,800 lenders; and 36 state guarantee agencies. Ensuring the accurate and efficient collection of these data is a key component in the successful delivery of the student aid programs and achievement of Goal 3 in the Department's Strategic Plan to, "ensure access to postsecondary education and lifelong learning."

The student aid delivery system has suffered from data quality problems which are sufficiently severe to cause the Department to fail to receive an unqualified audit opinion. Steps being taken to improve the efficiency and quality of the student aid delivery system include:

- Improving data accuracy by:
  - continuing or expanding interagency coordination on data matches–with the Internal Revenue Service, the Social Security Administration, the Immigration and Naturalization Service, the Selective Service, the U.S. Postal Service, and the Departments of Defense, Justice, and Housing and Urban Development–to help improve data accuracy and reduce burden on respondents,
  - establishing by December 1999 industry-wide standards for data exchanges to stabilize data requirements, improve data integrity, and reduce costly errors, and
  - receiving individual student loan data directly from lenders rather than through guarantee agencies and by expanding efforts to verify the data reported to the National Student Loan Data System.

- Strengthening indicators of customer satisfaction to provide early warnings of possible delivery system problems. This will build on the Department's successful on-going evaluations of its institutional and student aid customers.

- Refining a risk management system that encompasses all relevant data regarding postsecondary institutions operation and management of the student aid programs so that compliance and enforcement activities can be targeted on poorly performing institutions.

- Preparing a system architecture for the delivery of federal student aid by December 1998 that will help integrate the multiple student aid databases based on student-level data in order to improve the availability and quality of information on student aid applicants and recipients.

Ensuring the quality of performance information on internal management systems

The Department must have solid information on the performance of its internal management systems if it is to achieve its Goal 4 objective of a high performance organization. This means obtaining adequate coverage of internal system performance and ensuring the reliability of such data.

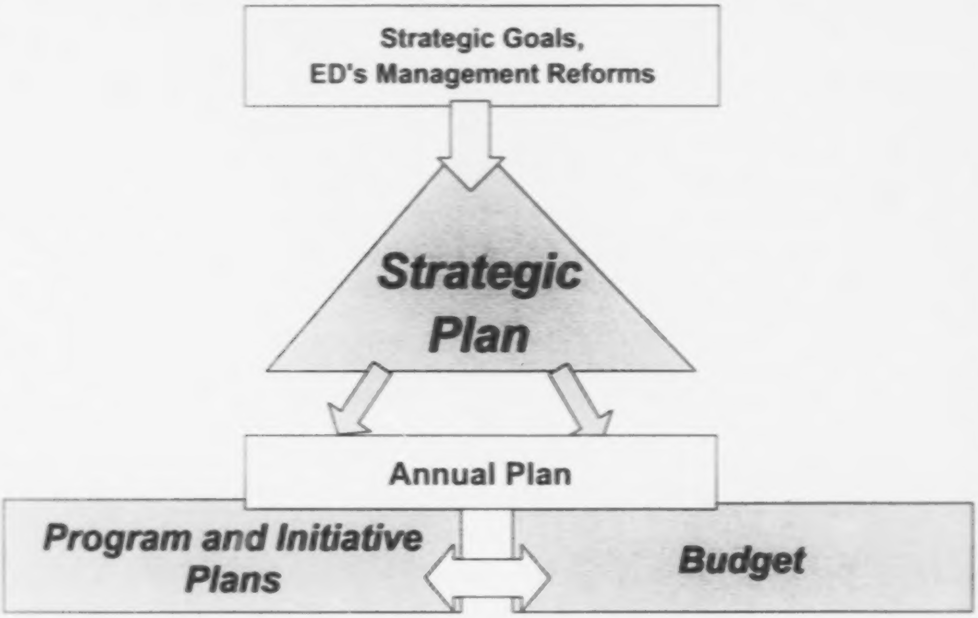
The Department plans on extending its independent evaluations, now used mainly for program evaluations, to management evaluations. A priority area will be evaluation of the quality of performance data, including data for customer surveys, performance contracting and employee performance ratings and awards. Also, informational technology systems are the bulwark of productivity growth and evaluations are planned to examine the quality of data on the performance of key information systems and of employee use of these systems.

Reference

Hatry, Harry and Kopczynski, Mary. *Guide to Program Outcome Measurement for the U.S. Department of Education.* Washington, DC: U.S. Department of Education's Planning and Evaluation Service, 1997.

Exhibit 6

Planning Levels in the U.S. Department of Education


Strategic Goals,
ED's Management Reforms
Strategic Plan
Annual Plan
Program and Initiative Plans
Budget

Program Performance Plans

Volume 2 contains 99 program plans covering the Department's programs.

The Department is committed to managing by results. Managers throughout the Department have prepared individual program indicator plans that, like the Department's Strategic Plan, lay out goals, objectives, performance indicators and targets, data sources, and key strategies. Performance plans are now available that cover all programs in the Department, although in some cases, several programs or budget line items have been aggregated into a single performance plan.

Development process

The process for developing these plans started in 1996 when the then-Under Secretary of Education required each principal office to develop a program indicator plan for one of its largest or most important programs. Working office by office, the Under Secretary met and personally reviewed the plans, and common formats, indicators, and guidance began to emerge. By the end of 1996, each program office had participated in at least one high-level review meeting and received guidance on the plans. By mid-March 1997, the Department was able to send to Congress a set of draft plans for many of its key programs representing about 70 percent of the Department's total appropriations.

Continued work by managers and staff at all levels of the agency resulted in a full set of program plans by the end of 1997. Most of the plans were provided to key constituency groups at some point during development for review, although the extent of review varied.

During preparation of the FY 1999 budget, the objectives and indicators in these plans were integrated into the Department's request to Congress, including the Congressional Justifications for FY 1999. As illustrated by Exhibit 6, the program performance plans are a critical element in the Department's planning process and link both to the Strategic and Annual Plan objectives and strategies and to the budget request.

Next steps

During the next year, the Department will focus on:

- *Implementation and reporting.*
- *Improving data sources.* Program offices, the Planning and Evaluation Service, or the National Center for Education Statistics will amend or improve current data systems/studies in the program plans or establish new ones as needed to ensure that indicator data are available. As described in the Annual Plan section in this volume on quality of data, the Department will review the quality of its data sources, both Strategic Plan and individual program plan sources.
- *Continued review of plan frameworks.* Program and staff offices will assess the appropriateness and usefulness of the framework of objectives and indicators for selected plans, through:
  - – follow up to questions and concerns expressed by Congress;
  - – broad consultation with our education partners and with program stakeholders and customers;
  - – reviews by experts.

Exhibit 7

Program Performance Plans in Volume 2: Categories and Funding

	*FY 1999 President's Budget**
Education Reform	
Goals 2000: Educate America	$501,000,000
School to Work Opportunities	125,000,000
Education Technology	721,000,000
Elementary and Secondary Education	
Education for the Disadvantaged	8,495,892,000
Impact Aid	696,000,000
Class Size Reduction and Teacher Financing	1,100,000,000
School Improvement	1,475,800,000
America Reads Challenge	260,000,000
Indian Education	66,000,000
Bilingual and Immigrant Education	387,000,000
Special Education	4,845,646,000
Rehabilitation Services, Disability Research, and Special Institutions	2,781,793,000
Vocational and Adult Education	1,544,147,000
Student Financial Assistance	11,532,801,000
Higher Education	1,288,405,000
Educational Research and Improvement	685,367,000
Office for Civil Rights	68,000,000
Total, ED programs	$36,771,464,000

* Excludes $1,028,905,000 in funding for Department management functions. Total budget request for FY 1999 is $37,800,369,000.

Relationship of program plans and FY 1999 budget structure

Exhibit 7 displays the budget accounts and sub-accounts by which the program plans in Volume 2 are grouped as well as the funding requested for each.

Exhibit 8 below shows the relationship of the individual program plans to the FY 1999 budget structure. In some cases the Department aggregated activities in two or more budget lines in one plan. All program activities in the FY 1999 budget have an individual program plan or are included within one.

Exhibit 8

Relationship of Program Plans to FY 1999 Budget Structure

Program Plans	FY 1999 Budget (000s)	More than one budget line in plan?
Education Reform		
1. Goals 2000 (state/local improvement; parental assistance)	$501,000	Yes
2. School-to-work opportunities program	$125,000	No
Educational Technology		
3. Technology challenge programs (literacy and innovation grants, national activities)	$668,000	Yes
4. Regional technology in education consortia	$10,000	No
5. Star schools	$34,000	No
6. Ready to learn television	$7,000	No
7. Telecommunications demonstration project for mathematics	$2,000	No
Education for the Disadvantaged		
8. Title I LEA grants (basic, concent., targeted), capital expenses	$7,777,000	Yes
9. Even Start	$114,992	No
10. Title I migrant education	$354,689	No
11. Title I neglected and delinquent	$40,311	No
12. Comprehensive school reform demonstrations	$150,000	No
13. Transition-to-school demonstrations	$35,000	No
14. Migrant HEP and CAMP	$15,000	Yes
Impact Aid		
15. Impact aid	$696,000	Yes
Class Size Reduction and Teacher Financing		
16. Class size reduction and teacher financing initiative (prop.leg.)	$1,100,000	No
School Improvement Programs		
17. Eisenhower professional development state grants	$335,000	No
18. Innovative education state grants (Title VI) (block grant)	$0	No
19. Safe and drug-free schools (state grants, nat.progs, coordinators)	$606,000	Yes
20. Inexpensive book distribution (RIF)	$13,000	No
21. Arts in education	$10,500	No
22. Magnet schools assistance	$101,000	No
23. Education for homeless children and youth	$30,000	No
24. Women's educational equity	$3,000	No
25. Training and advisory services (Civil Rights Act)	$8,300	No
26. Ellender Fellowships	$0	No
27. Education for Native Hawaiians	$18,000	No
28. Alaska Native education equity	$8,000	No

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Exhibit 8

Relationship of Program Plans to FY 1999 Budget Structure

Program Plans	FY 1999 Budget (000s)	More than one budget line in plan?
29. Charter schools	$100,000	No
30. Comprehensive regional assistance centers	$40,000	No
31. Advanced placement test fees	$3,000	No
32. Education opportunity zones (prop.leg.)	$200,000	No
America Reads Challenge		
33. America Reads Challenge (prop.leg.)	$260,000	No
Indian Education		
34. Grants to LEAs; special programs; national activities	$66,000	Yes
Bilingual and Immigrant Education		
35. Bilingual education	$232,000	Yes
36. Foreign language assistance	$5,000	No
37. Immigrant education	$150,000	No
Special Education (IDEA)		
38. State grants (grants to states and preschool grants) (Part B)	$4,184,685	Yes
39. Grants for infants and families (Part C)	$370,000	No
40. National activities (Part D)	$290,961	Yes
Rehabilitation Services and Disability Research		
41. Vocational rehabilitation grants to states, inservice training set-aside, and supported employment state grants	$2,325,280	Yes
42. Vocational rehabilitation grants for Indians	$17,283	No
43. Client assistance state grants	$10,928	No
44. Training	$33,685	No
45. Special demonstration programs	$18,942	No
46. Migratory workers	$2,350	No
47. Recreational programs	$2,596	No
48. Protection and advocacy of individual rights	$9,894	No
49. Projects with industry	$22,071	No
50. Independent living	$79,574	Yes
51. Helen Keller National Center for Deaf-Blind Youths and Adults	$8,176	No
52. National Institute on Disability and Rehabilitation Research	$81,000	No
53. Assistive technology	$30,000	No
Special Institutions for Persons with Disabilities		
54. American Printing House for the Blind	$8,256	No
55. National Technical Institute for the Deaf	$44,791	No
56. Gallaudet University	$83,480	No
Vocational and Adult Education		
57. Vocational education basic grants and tech-prep education	$1,136,650	Yes
58. Vocational education national programs	$13,497	No
59. Tribally controlled postsecondary vocational institutions	$0	No
60. Adult education state grants	$361,000	No
61. Adult education evaluation and technical assistance	$27,000	No
62. National Institute for Literacy	$6,000	No

Exhibit 8
Relationship of Program Plans to FY 1999 Budget Structure

	Program Plans	FY 1999 Budget (000s)	More than one budget line in plan?
63.	Literacy programs for prisoners and State grants for incarcerated youth offenders	$0	Yes
Student Financial Assistance			
64.	Cross-program measures (office-wide)	NA	NA
65.	Pell grants	$7,594,000	No
66.	Campus-based programs	$1,649,000	Yes
67.	State student incentive grants	$0	No
68.	Federal Family Education Loans	$1,764,317	No
69.	Federal Direct Student Loans	$525,484	No
Higher Education			
70.	Title III (HEA) aid for institutional development	$260,000	Yes
71.	Fund for the Improvement of Postsecondary Education	$22,500	No
72.	International education/foreign language studies	$61,117	Yes
73.	Teacher recruitment and preparation (HEA, V - prop.leg.)	$67,000	No
74.	Interest subsidy grants	$13,000	No
75.	Urban community service (HEA XI-A)	$0	No
76.	Mary McLeod Bethune Memorial Fine Arts Center	$0	No
77.	Federal TRIO programs	$583,000	No
78.	High Hopes College-School Partnerships (prop.leg.)	$140,000	No
79.	National early intervention scholarships and partnerships	$0	No
80.	Byrd honors scholarships	$39,288	No
81.	National need graduate fellowship program (prop.leg.)	$37,500	No
	State grants for incarcerated youth offenders		See # 63
82.	Early awareness information program	$15,000	No
83.	Learning anytime anywhere partnerships (prop.leg.)	$30,000	No
84.	Access and retention innovations (prop.leg.)	$20,000	No
85.	Howard University	$210,000	Yes
Research and Improvement			
86.	National education research institutes	$53,782	No
87.	Interagency research initiative	$50,000	No
88.	Regional educational laboratories	$56,000	No
89.	National dissemination activities	$18,785	No
90.	Statistics and assessment	$104,000	Yes
91.	Eisenhower professional development federal activities	$50,000	No
92.	Fund for the improvement of education	$105,000	No
93.	Javits gifted and talented education	$6,500	No
94.	Eisenhower math and science consortia	$25,000	No
95.	21st century community learning centers	$200,000	No
96.	National writing project	$5,000	No
97.	Civic education	$6,300	No
98.	International education exchange	$5,000	No
Department Management			
99.	Office for Civil Rights	$68,000	No

Exhibit 8

Relationship of Program Plans to FY 1999 Budget Structure

Program Plans	FY 1999 Budget (000s)	More than one budget line in plan?
Office of the Inspector General	$31,242	See below
Departmental management	$997,663	NA
Total Budget Authority	**$37,800,369**	

Inspector General's strategic and annual plans

The Department's Office of the Inspector General (OIG) has a strategic plan located on the ED web site at: http://www.vais.net/~edoig/misc/ffinalst.htm, which contains OIG's mission, goals, performance measures, and strategies. The OIG's goals are:

- **Goal 1. Program and Operations Improvement.** OIG products and services are used by the Department of Education, Congress, and other interested parties to improve the efficiency, effectiveness, and integrity of education programs and operations.
- **Goal 2. Program and Operations Integrity.** OIG's work discloses significant fraud, waste, and abuse; results in enforcement and corrective actions; and promotes deterrence.
- **Goal 3. High Performance.** Transform the OIG into a high performance organization that promotes productivity and a positive work environment.

The IG also has an annual plan for 1998-99 which can be found at: http://www.vais.net/~edoig/misc/wp9899.htm. This plan lists the specific audits, investigations, and other activities planned for FY 1999 and delineates the expected impact of the work on the successful accomplishment of the Department's programs. Both plans are available in .html and Adobe Acrobat .pdf formats. Hard copy of these plans may be obtained from the Department's Office of the Inspector General.

Appendix A: Coordination with Other Agencies

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Acronyms

For federal agencies and U.S. Department of Education offices mentioned in the following table:

Agencies:

USDA	Department of Agriculture
CNS	Corporation for National Service
DOD	Department of Defense
DOJ	Department of Justice
DOL	Department of Labor
ED	Department of Education
FCC	Federal Communications Commission
GPO	Government Printing Office
GSA	General Services Administration
HHS	Department of Health and Human Services
HUD	Department of Housing and Urban Development
INS	Immigration and Naturalization Service
IRS	Internal Revenue Service
NASA	National Aeronautical and Space Administration
NICHD	National Institute of Child Health and Human Development
NIDA	National Institute on Drug Abuse
NSF	National Science Foundation
OJJDP	Office of Juvenile Justice and Delinquency Prevention
ONDCP	Office of National Drug Control Policy
USPS	United States Postal Service

ED offices:

ARC	America Reads Challenge
DAEL	Division of Adult Education and Literacy
NCES	National Center for Education Statistics
OBEMLA	Office of Bilingual Education and Minority Languages Affairs
ODS	Office of the Deputy Secretary
OERI	Office of Educational Research and Improvement
OESE	Office of Elementary and Secondary Education
OIIA	Office of Intergovernmental and Interagency Affairs
OPE	Office of Postsecondary Education
OSERS	Office of Special Education and Rehabilitative Services
OUS	Office of the Under Secretary
OVAE	Office of Vocational and Adult Education
PES	Planning and Evaluation Service
RSA	Rehabilitation Services Administration
SDFS	Safe and Drug-Free Schools

U.S. Department of Education – Coordination with Federal Agencies

Organization	Goal 1. Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning and productive employment.	Goal 2. Build a solid foundation for learning for all children	Goal 3. Ensure access to postsecondary education and lifelong learning.	Goal 4. Make ED a high-performing organization by focusing on results, service quality, and customer satisfaction
Departments				
Agriculture (USDA)	• **After school programs.** The Family-School Partnership Initiative, USDA, and other agencies participate in the Federal Support to Communities Initiative which was established to coordinate after-school programs. (Obj. 1.5)			• **Research.** OERI's National Institute on Early Childhoold Education will implement an early childhood longitudinal study with HHS and USDA. (Obj. 4.3)
Defense (DOD)		• **Children's reading** . OIIA and the America Reads Challenge (ARC) Office will collaborate with the U.S. Army's Extended Learning Program to train its program directors in using READ*WRITE*NOW! strategies and materials. (Obj. 2.2)	• **Defaulted borrowers.** OPE will work with DOD to better track defaulted borrowers and return them to repayment. (Obj. 3.3)	• **Research.** Several ED offices (OESE, OERI, OUS, and OSERS) support the Early Childhood Research Working Group (Health and Human Services, DOD, Department of Justice, Department of Labor, and National Science Foundation) in coordinating research priorities and databases. (Obj. 4.3)

U.S. Department of Education – Coordination with Federal Agencies

Organization	Goal 1. Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning and productive employment.	Goal 2. Build a solid foundation for learning for all children	Goal 3. Ensure access to postsecondary education and lifelong learning.	Goal 4. Make ED a high-performing organization by focusing on results, service quality, and customer satisfaction
Health and Human Services (HHS)	• **Drug prevention activities.** OESE's Safe and Drug-Free Schools (SDFS) office will continue to pursue joint projects, including efforts to provide training and technical assistance to educators, communities, and states with the Center for Substance Abuse Prevention, Maternal and Child Health Bureau, and National Institute on Drug Abuse (NIDA). (Obj. 1.3)	• **Indicators of child well-being.** OESE works to incorporate the Federal Interagency Forum on Child and Family Statistics' indicators of child well-being into all programs; including Even Start. (Obj. 2.1)	• **Defaulted borrowers.** Work with HHS to better track defaulted borrowers and return them to repayment. (Obj. 3.3) • **SSA beneficiaries.** RSA will address with SSA the disincentives to work that affect SSA beneficiaries. (Obj 3.4)	• **Research.** Several ED offices (OESE, OERI, OUS, and OSERS) support the Early Childhood Research Working Group (Health and Human Services, DOD, Department of Justice, Department of Labor, and National Science Foundation) in coordinating research priorities and databases. (Obj. 4.3)

U.S. Department of Education – Coordination with Federal Agencies

Organization	Goal 1. Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning and productive employment.	Goal 2. Build a solid foundation for learning for all children	Goal 3. Ensure access to postsecondary education and lifelong learning.	Goal 4. Make ED a high-performing organization by focusing on results, service quality, and customer satisfaction
Health and Human Services (HHS) *continued*	• **Prevention activities.** OESE's SDFS office will support the Initiative on Youth Substance Abuse Prevention with HHS's Substance Abuse and Mental Health Services Administration, National Institute on Alcoholism and Alcohol Abuse, and NIDA (Obj. 1.3) • **Evaluation.** OESE and PES cooperate on evaluation projects with HHS like School Health Policies and Program's Study. (Obj 1.3) • **Data.** OESE and PES maximize use of data including NIDA's Monitoring the Future and the Center for Disease Control's (CDC) Youth Risk Behavior Surveillance System. (Obj. 1.3)	• **Aligned indicators.** OESE works with the Head Start Bureau to align indicators of progress and quality between the Even Start program and Head Start programs. (Obj. 2.1) • **Early learning programs.** OESE Coordinate preschool programs and efforts of the proposed "Early Learning Fund" which is proposed to support programs that improve early learning and the quality and safety of child care. (Obj. 2.1) • **Information sharing.** OESE will use the Early Childhood Research Working Group to exchange/share current information, provide opportunities for interagency research collaboration, and use findings to improve programs. (Obj. 2.1) • **School linked services.** OESE supports "Communities Can" initiative to promote school-linked services for young children and their families. (Obj. 2.1) • **America Reads initiative.** OUS will coordinate publications development and	• **Learning accommodation strategies.** The Division of Adult Education and Literacy (DAEL) will work with the NIH and the Division of National Adult Literacy and Learning Disabilities Center to develop information concerning learning accommodation strategies to facilitate the participation of adults with disabilities in literacy programs. (Obj. 3.4) • **Welfare-to-work.** Joint HHS and ED effort to evaluate welfare-to work strategies. (Obj. 3.4)	• **Early childhood longitudinal study.** OERI implementing an early childhood longitudinal study with HHS and USDA. (Obj. 4.3) • **Research priorities.** OERI with NSF and NICHD develop comprehensive priorities for education research in areas of national need. (Obj. 4.3)

U.S. Department of Education – Coordination with Federal Agencies

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Health and Human Services (HHS) ***continued***	• **After school programs.** The Family-School Partnership Initiative, HHS, and other agencies participate in the Federal Support to Communities Initiative which was established to coordinate after school programs. (Obj. 1.5)	• **Reading outreach.** The ARC Office will coordinate outreach with Head Start and Resource and Referral Network to early childhood caregivers. (Obj. 2.2) • **Reading and early childhood collaboration.** OESE, OIIA, and the ARC Office will coordinate community collaboration of Head Start and Resource and Referral Network and Department funded activities for reading and early childhood. (Obj. 2.2) • **Study on acquisition of English.** OBEMLA will collaborating with NICHD to launch a five-year study on acquisition of English and teaching and learning of reading. (Obj. 2.2) • **Acquisition of English grants.** OSERS will award grants that model NICHD research for the learning disabled population. (Obj. 2.2) • **Participation in educational activities**. OESE, OBEMLA, and OSERS will expand coordinated efforts to ensure that children from families moving from welfare to work and others with special needs		

U.S. Department of Education – Coordination with Federal Agencies

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Housing and Urban Development (HUD)	• **After school programs.** The Family-School Partnership Initiative, HUD, and other agencies participate in the Federal Support to Communities Initiative which was established to coordinate after school programs. (Obj. 1.5)		• **Defaulted borrowers.** OPE will work with HUD to better track defaulted borrowers and return them to repayment. (Obj. 3.3)	
Interior		• **Reading programs.** OIIA OESE, and the ARC Office will coordinate with the Bureau of Indian Affairs schools to encourage extended learning in reading programs that support the America Reads Challenge. (Obj. 2.2)		
Justice (DOJ)	• **Prevention activities.** OESE's SDFS office will continue to pursue joint projects such as the truancy and hate crimes initiatives with DOJ's Office of Juvenile Justice and Delinquency Prevention (OJJDP) (Obj. 1.3) • **Data.** OESE and PES work with DOJ to develop and implement the President's Report Card on School Violence. (Obj. 1.3)	• **America Reads Challenge sites.** The ARC Office and OESE will collaborate with Justice's Weed and Seed Program to train program directors in using Weed and Seed sites as America Reads Challenge extended learning settings; and provide materials for reading to Weed and Seed sites. (Obj. 2.2)	• **Defaulted borrowers.** OPE will work with DOJ, to better track defaulted borrowers and return them to repayment. (Obj. 3.3) • **Student aid eligibility**. OPE will work with Immigration and Naturalization Service (INS) to perform data matches to efficiently and effectively determine eligibility for student aid. (Obj. 3.3)	• **Research.** Several ED offices (OESE, OERI, OUS, and OSERS) support the Early Childhood Research Working Group (Health and Human Services, DOD, Department of Justice, Department of Labor, and National Science Foundation) in coordinating research priorities and databases. (Obj. 4.3)

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Justice *continued*	• **Evaluation.** OESE and PES will cooperate on evaluation projects such as the National Study on School Violence, conducted in cooperation with the National Institute for Justice, and the National Study of Delinquency Prevention in Schools. (Obj. 1.3) • **Prevention technical assistance.** OESE's SDFS office with OJJDP, and DOJ's Office for Victims of Crime will jointly pursue projects, including providing training and technical assistance to educators, communities, and states. (Obj. 1.3) • **Data.** OESE and PES seek to maximize use of National Crime Victimization Survey data in reporting on school crime. (Obj. 1.3) • **After school programs.** The Family-School Partnership Initiative, DOJ and other agencies participate in the Federal Support to Communities Initiative which was established to coordinate after school programs. (Obj. 1.5)	• **Census of juvenile facilities**. OESE, OVAE, and PES will coordinate in developing a Census of Residential Juvenile Facilities — a multidisciplinary project to collect information on juveniles in detention and correctional custody, including data on education. (Obj. 2.4)	• **Student loan repayment.** OPE will work with the Internal Revenue Service (IRS) to obtain adjusted gross income and other tax information on borrowers regarding the repayment of their student loans including tax refund offsets for defaulted borrowers. (Obj. 3.3)	

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Labor (DOL)	• **School-to-work program.** OVAE and DOL jointly administer the School-to-Work program and through the national School-to-Work Office are coordinating efforts to improve program management by aligning grant-making, audit, technical assistance, and performance reporting functions. (Obj. 1.2) • **School-to-work concepts.** Job Corps Centers are being encouraged to emphasize adoption of school-to-work concepts. (Obj. 1.2)	• **Participation in educational activities**. OESE, OBEMLA, OSERS expand coordinated efforts to ensure that children from families moving from welfare to work and others with special needs receive opportunities to participate fully in educational activities aimed at helping them reach high standards. (Obj. 2.4)	• **Student with disabilities.** Rehabilitation Services Administration (RSA)and the School-to-Work office are working to ensure that students with disabilities receive appropriate school-to-work transition services. (Obj. 3.4)	• **Research.** Several ED offices (OESE, OERI, and OSERS) support the Early Childhood Research Working Group (Health and Human Services, DOD, Department of Justice, Department of Labor, and National Science Foundation) in coordinating research priorities and databases. (Obj. 4.3) • **Waiver authority.** ED jointly administers waiver authority with the School-to-Work Office. (Obj. 4.2)

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Treasury			• **Information dissemination.** Internal Revenue Service prepares publications in consultation with OPE regarding steps needed for taxpayers to claim the Hope Scholarship and Lifetime Learning tax credits. (Obj. 3.2) • **Student loan interest rates.** Consult with the Treasury Department on the setting of student loan interest rates. (Obj. 3.2) • **Tax credits.** OPE coordinates to implement the Lifetime Learning tax credit. (Obj. 3.4)	

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Independent Agencies				
Corporation for National Services (CNS)	• **After school programs.** The Family-School Partnership Initiative, USDA, and other agencies participate in the Federal Support to Communities Initiative which was established to coordinate after school programs. (Obj. 1.5)	• **America Reads Challenge (ARC) sites.** ARC coordinates 65 ARC Pilot Sites with CNS grantee sites using CNS volunteer tutors. (Obj. 2.2) • **Publication development.** The ARC office will coordinate cross-use of CNS and ED publications for the ARC and collaborative development of materials. (Obj. 2.2) • **College work-study support.** The ARC Office will cross-use College Work Study students to support CNS and Department ARC sites. (Obj. 2.2)		
Federal Communications Commission (FCC)	• **E-rate.** The Office of Educational Technology will work with the FCC and the Schools and Libraries Corporation to effectively implement effective use of the "E-rate" which will greatly expand the use of technology in schools. (Obj. 1.7)			

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General Services Administration (GSA)				• **Information dissemination.** OERI is currently working with the Consumer Information Center (CIC) to develop, promote, and distribute information to the public. (Obj. 4.1)
Government Printing Office (GPO)				• **Depository Library System.** OERI continues to work with this library system to ensure all documents printed by GPO are deposited, putting ED documents in the public domain for use by all taxpayers and citizens. (Obj 4.1)
National Aeronautical and Space Administration (NASA)		• **Teachers of mathematics.** OERI will work with NASA and other agencies to prepare a "roadmap" for teacher preparation to improve the training of future teachers of mathematics. (Obj. 2.3)		

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National Endowment for the Arts	• **Prevention technical assistance.** OESE's SDFS office will pursue joint projects, including efforts to provide training and technical assistance to educators, communities, and states. (Obj. 1.3)			
National Science Foundation (NSF)	• **Professional development.** OERI, ODS, OESE in coordination with NSF, fund projects of national significance to upgrade professional development in mathematics. (Obj 1.4)	• **Challenging mathematics.** ODS and other ED offices work on the ED-NSF action strategy which will launch a national information and engagement campaign on the importance of mathematics and jointly award grants to strengthen the coordination of federal programs in supporting challenging mathematics. (Obj. 2.3)		• **Research priorities.** OERI with NSF and NICHD develop comprehensive priorities for education research in areas of national need. (Obj. 4.3) • **Research.** Several ED offices (OESE, OERI, OUS, and OSERS) support the Early Childhood Research Working Group (HHS, DOD, DOJ, DOL, and NSF) in coordinating research priorities and databases. (Obj. 4.3)
Office of Science and Technology Policy	• **Learning technologies.** The Office of Educational Technology will work to complete interagency action plan on learning technologies research and development. (Obj. 1.7)			

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Office of National Drug Control Policy (ONDCP)	• **Prevention activities.** OESE's SDFS office supports the Initiative on Youth Substance Abuse Prevention with HHS, and ONDCP. (Obj. 1.3) • **Performance indicators**. OESE's SDFS office is coordinating performance indicators with ONDCP and other agencies. (Obj. 1.3)			
Selective Service			• **Student aid eligibility.** OPE works with Selective Service to perform data matches to efficiently and effectively determine eligibility for student aid. (Obj. 3.3)	
U.S. Postal Service (USPS)			• **Defaulted borrowers.** OPE will work with USPS to better track defaulted borrowers and return them to repayment. (Obj. 3.3)	

Facts about the Department of Education

- *The U.S. Department of Education (ED) is the smallest federal department, with less than 5,000 staff.* Our full-time equivalent (FTE) staffing ceiling in FY 1998 is 4,586.

- *The number of programs that will be administered in FY 1998 is about 170.*

- *We will provide or oversee an estimated $74 billion in aid to education in FY 1998.* This figure includes program funding, new student loans, and federal administration. It breaks down as follows:

  - *Congressional appropriations for program activities: $33.9 billion.* These funds are used for grants to state and local agencies, higher education institutions, and other entities; contracts; and subsidies for direct and guaranteed student loans.

  - *New student loans: $39.2 billion.* Postsecondary education student loans are made by ED, guaranteed by ED and issued by banks and other financial institutions, or, under the Perkins loan program, issued by postsecondary educational institutions.

  - *Federal administration: $852.3 million.* Department of Education salaries and expenses totaled 1.2% of the FY 1998 dollars for aid to education.

- *We are responsible for a portfolio of outstanding student loans that will total about $153 billion in FY 1998.*

- *Federal funds from all federal agencies represent a small but important proportion of K-12 education funding and postsecondary general institutional funding, but provide or guarantee a very large share of student financial aid.* For FY 1998, it is estimated that federal education funds will represent about –
  - 9% of all education funding (public and private).
  - 6% of K-12 funding (public and private).
  - 12% of funding for postsecondary institutions (excluding student financial aid).
  - 75% of all student financial aid awarded to postsecondary students.

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- Call 1-800-USA-LEARN. *If in Washington, D.C., call 202 401-2000.*
- Fax a request to 202 401-0689.
- E-mail a request to: strategic_plan@ed.gov.
- Download an HTML or PDF file from the Department's web site. The Annual Plan will be located under http://www.ed.gov/pubs/.
- For TTY, call 1-800-437-0833.
- For a Braille or audio-tape version, call 202 260-9895.

For questions on this plan, call Heather Ryner on 202 205-7939.

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